Course Information and Required Materials

Jan 2007

Hours: 18-24
Designed For: Type 3 Incident Management Team (IMT) candidates, incident middle management (Unit Leaders, Division/Group Supervisors, and Strike Team Leaders), elected officials, line officers, lead dispatchers, Multi-agency Coordination (MAC) members, director heads (public works director, fire chief, sheriff), emergency managers, agency representatives

Description: This course provides description and detail of the Incident Command System (ICS) organization and operations in supervisory roles on expanding or Type 3 incidents. Topics include: ICS fundamentals review, incident/event assessment and agency guidance in establishing incident objectives, Unified Command, incident resource management, planning process, demobilization, transfer of command, and close out.

Prerequisites: I-200 Certification
Certification: Not Applicable
Max. Class Size: 40
Restrictions: None

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<tr>
<th>REQUIRED STUDENT MATERIALS</th>
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<td>Student Manual</td>
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<th>REQUIRED INSTRUCTOR MATERIALS</th>
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<td>Instructor Guide</td>
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<td>Student Manual</td>
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<td>PowerPoint Slides</td>
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<td>Instructional Activities</td>
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<td>Summative Exam</td>
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VENDORS CONTACT INFORMATION

SFT State Fire Training (courtesy of OES/FEMA) http://osfm.fire.ca.gov/training/SFTCurriculum

SFT Contact the Instructor Registrar for access to the Exam/Answer Key

I-300 COURSE OUTLINE

Course information can be found on the link above
Course Background Information

Purpose
This course provides training on and resources for personnel who require advanced application of the Incident Command System (ICS).

Who Should Attend
The target audience for this course is individuals who may assume a supervisory role in expanding incidents. Note: During an expanding incident, some or all of the Command and General Staff positions may be activated, as well as Division/Group Supervisor and/or Unit Leader level positions. These incidents may extend into multiple operational periods.

This course expands upon information covered in the ICS-100 and ICS-200 courses. These earlier courses are prerequisites for ICS-300.

ICS Instructor Guidelines
The National Integration Center (NIC) is responsible for “facilitating the development of national guidelines for incident management training and exercises at all jurisdictional levels, while individual agencies and organizations are responsible for establishing and certifying instructors.” The NIC provides guidelines for ICS instructors.

While individual agencies and organizations are responsible for establishing and certifying instructors, the NIC urges those agencies and organizations to follow these guidelines.

The NIC recommends the following ICS general instructor guidelines:

Instructor Levels

- **Lead instructors** must be capable of last-minute substitution for unit instructors.

- **Unit instructors** must be experienced in the lesson content they are presenting.

- **Adjunct instructors** may provide limited instruction in specialized knowledge and skills at the discretion of the lead instructor. They must be experienced, proficient, and knowledgeable of current issues in their field of expertise.
Adult Education recommendations for ICS-300 and ICS-400 Lead and Unit Instructors

Instructors should complete formal instructor training such as college courses, the National Wildfire Coordinating Group (NWCG)’s Facilitative Instructor M-410 course, the Emergency Management Institute (EMI)’s Master Trainer Program, the National Fire Academy (NFA)’s Instructional Methodology class, or the Office of Grants & Training’s (formerly known as Domestic Preparedness) Instructor Training Certification Course, or equivalent.

- At least two instructors are recommended to conduct ICS-300 classes;
- Lead instructor should have successfully completed ICS-400;
- Unit instructors should have successfully completed ICS-300;
- Lead instructor should have served as served as Incident Commander or in a Command Staff or General Staff position in an incident that went beyond one operational period or required a written Incident Action Plan (IAP); and
- Unit instructors should have served as served as Incident Commander or in a Command Staff or General Staff position; or, have specialized knowledge and experience appropriate for the audience, such as public health or public works.

The course objectives are as follows:

- Describe how the NIMS Command and Management component supports the management of expanding incidents.
- Describe the incident/event management process for supervisors and expanding incidents as prescribed by the Incident Command System (ICS).
- Implement the incident management process on a simulated expanding incident.
- Develop an Incident Action Plan for a simulated incident.

The training is comprised of the following lessons:

- Unit 1: Course Overview
- Unit 2: ICS Fundamentals Review
- Unit 3: Unified Command
- Unit 4: Incident/Event Assessment and Agency Guidance in Establishing Incident Objectives
- Unit 5: Planning Process
- Unit 6: Incident Resource Management
- Unit 7: Demobilization, Transfer of Command, and Closeout
- Unit 8: Course Summary

The table on the next page presents the recommended training agenda.
Sample Agenda

DAY 1

Morning Session

• Unit 1: Course Overview (1 hour)
• Unit 2: ICS Fundamentals Review (2 hours 30 minutes)

Afternoon Session

• Unit 3: Unified Command (2 hours 15 minutes)
• Unit 4: Incident/Event Assessment and Agency Guidance in Establishing Incident Objectives (2 hours 20 minutes)

DAY 2

Morning Session

• Unit 4: Incident/Event Assessment and Agency Guidance in Establishing Incident Objectives (continued)
• Unit 5: Planning Process (3 hours 45 minutes)

Afternoon Session

• Unit 5: Planning Process (continued)
• Unit 6: Incident Resource Management (3 hours)

DAY 3

Morning Session

• Unit 7: Demobilization, Transfer of Command, and Closeout (2 hours 10 minutes)
• Unit 8: Course Summary (1 hour)

Recommended course length is a minimum of 18 hours not including breaks.
ICS Training and NIMS

The National Incident Management System (NIMS) National Standard Curriculum: Training Development Guidance outlines the System’s ICS concepts and principles, management characteristics, organizations and operations, organizational element titles, and recommendations for a model curriculum. It also provides an evaluation checklist for content that may be used to make sure that the training meets the "as taught by DHS" standard. The guidance document is available for download from the NIMS homepage at www.fema.gov/emergency/nims.

The model NIMS ICS curriculum organizes four levels of training: ICS-100, Introduction to ICS; ICS-200, Basic ICS; ICS-300, Intermediate ICS; and ICS-400, Advanced ICS. ICS training provided by EMI, NFA, NWCG, the U.S. Department of Agriculture (USDA), the Environmental Protection Agency (EPA), and the U.S. Coast Guard (USCG) follow this model.

According to the NIC, emergency management and response personnel already ICS trained do not need retraining if their previous training is consistent with the DHS standard. This would include ICS courses managed, administered, or delivered by EMI, NFA, NWCG, USDA, EPA, or USCG. Questions concerning NIMS and related training issues may be directed to: fema-nims@dhs.gov.
Course Logistics Overview

Listed below are the materials that you will need in order to conduct this course:

- **Instructor Guide and Resource CD:** Obtain one copy of the Instructor Guide and resource CD for each trainer.

- **Student Manual:** Secure one copy of the Student Manual for each person attending the session.

- **Activity Materials:** Some activities in this course are based on continuing scenarios, with each unit building on the work completed in prior units. Select one scenario to start at the beginning of the course and continue it through the end of the course. For the scenario you select you will need to make enough copies of the Student Handouts for each participant.

**Scenario Options:** Select one of the following:

- Emerald City Flood
- Crescent City HazMat Incident
- Pet Food Recall
- Avian Influenza
- Coqui Frogs
- Earthen Dam Failure
- Hospital
- School Fire
- Wildfire
- Winter Storm
- Basketball Game

- **PowerPoint Files CD:** The course visuals are stored on a CD. Transfer the course visuals from the CD to the hard drive of a computer. The visuals will operate more effectively if they are accessed from the computer’s hard drive instead of the CD. Complete the following steps for copying the folders and files from the CD:
  1. Insert the Visuals CD into your CD drive.
  2. Using Windows Explorer, access the list of folders and files on your CD drive.
  3. Highlight the folder on the CD titled “visuals.”
  4. With the visual folder highlighted, click on the Edit pull-down menu and then select Copy.
  5. Select a location on your computer’s hard drive. When you are in that drive (and folder), click on the Edit pull-down menu and then select Paste.
  6. All of the visuals should now be copied onto your hard drive.
  7. Test the visuals to make sure that everything transferred correctly.

- **Course Evaluation Forms:** Secure one copy of the course evaluation form for each person attending the training. Course evaluation forms are typically provided by the organization sponsoring the course.
<table>
<thead>
<tr>
<th>Course Background Information</th>
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<tr>
<td><strong>Course Equipment</strong></td>
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<tr>
<td>Make arrangements to have a computer with a PowerPoint slide projector. Be sure to try out the projector in advance of the training, in case you need help getting it to work properly. Make sure all equipment is functioning properly.</td>
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<tr>
<td>Test the PowerPoint projector and the lights. If you do not have equipment for projection, plan to refer participants to their Student Manuals. The visuals are reproduced in the Student Manual, but the training is more effective with the projection of the visuals. Arrange for technical assistance to be available during training in the event of equipment malfunction.</td>
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<tr>
<td><strong>Copyright</strong></td>
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<tr>
<td>This course makes no use of copyrighted/proprietary material.</td>
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UNIT 1: COURSE OVERVIEW
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Unit 1: Course Overview

Course Objectives

At the end of this course, the participants should be able to:

- Describe how the NIMS Command and Management component supports the management of expanding incidents.
- Describe the incident/event management process for supervisors and expanding incidents as prescribed by the Incident Command System (ICS).
- Implement the incident management process on a simulated expanding incident.
- Develop an Incident Action Plan for a simulated incident.

Scope

- Instructor Introductions
- Unit Objectives
- Course Objectives
- Student Introductions and Expectations
- Instructor Expectations
- Course Structure
- Course Logistics
- Successful Course Completion
- Activity: Team Formation
- Summary

Methodology

The lead instructor will welcome participants to the class and introduce himself/herself. Using a visual, the instructor will review the unit and course objectives. Next, participants will introduce themselves and identify their expectations. Then the instructor will identify his/her expectations.

Following the introductions, the course structure, agenda, and logistics will be presented. The instructor will also explain the course completion requirements, including a course final exam.

An activity will be used to energize the group and to form participants into teams that will work together for the duration of the course. Team members will be given the opportunity to introduce themselves, choose a team leader, and decide how they will operate during the course.

The lead instructor will conclude the unit by asking participants if they can accomplish the unit objectives.
Unit 1: Course Overview

Materials

- PowerPoint visuals 1.1 – 1.11
- Instructor Guide
- PowerPoint slides and a computer display system
- Student Manual

Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
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<tbody>
<tr>
<td>Welcome and Instructor Introductions</td>
<td>5 minutes</td>
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<tr>
<td>Unit and Course Objectives</td>
<td>5 minutes</td>
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<td>Student Introductions and Expectations</td>
<td>15 minutes</td>
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<td>Instructor Expectations</td>
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<td>Course Structure</td>
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<td>Course Logistics</td>
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<td>Successful Course Completion</td>
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<tr>
<td>Activity: Team Formation</td>
<td>20 minutes</td>
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<tr>
<td>Summary</td>
<td>5 minutes</td>
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<td><strong>Total Time</strong></td>
<td><strong>1 hour</strong></td>
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COURSE WELCOME

Instructor Notes: Present the following key points.

Welcome the participants to the ICS-300 course. Explain that this course focuses on ICS for supervisors in expanding incidents. Note that this course builds on the ICS-100 and ICS-200 courses.

Introduce yourself and provide information about your background and experience with the Incident Command System (ICS). Discuss your operational experience using ICS on multioperational-period incidents.

Ask other instructors to introduce themselves in the same way.
UNIT OBJECTIVES

Instructor Notes: Present the following key points.

Review the unit objectives with the class. Tell the participants that by the end of this unit, they should be able to:

- Describe the scope and objectives of this course.
- Explain how their assigned team will operate during this course.
I. COURSE OBJECTIVES

Instructor Notes: Present the following key points.

This course is designed to provide overall incident management skills rather than tactical expertise. Additional courses are available on developing and implementing incident tactics.

Tell the participants that by the end of this course, they should be able to:

- Describe how the NIMS Command and Management component supports the management of expanding incidents.
- Describe the incident/event management process for supervisors and expanding incidents as prescribed by ICS.

ICS-300 Course Objectives (1 of 2)

- Describe how the NIMS Command and Management component supports the management of expanding incidents.
- Describe the incident/event management process for supervisors and expanding incidents as prescribed by ICS.
Instructor Notes: Present the following key points.

Continue reviewing the following course objectives with the class:

- Implement the incident management process on a simulated expanding incident.
- Develop an Incident Action Plan for a simulated incident.
STUDENT INTRODUCTIONS AND EXPECTATIONS

Visual 1.5

Instructor Notes: Present the following key points.

Complete the student introductions by asking the participants to present their:

- Name, job title, and organization.
- Experience using ICS.
- Expectations for this course.
- Operational experience using ICS on multioperational-period incidents.

Ask the participants to each mention one thing they hope to learn in this course.

If possible, summarize the expectations on chart paper.

Based on the expectations presented, clarify if there are any topic areas that are beyond the scope of this course.

Save the expectations list. During the course summary, you may want to use this list to see how well the course met the group’s expectations.
INSTRUCTOR EXPECTATIONS

Instructor Notes: Present the following key points.

Briefly review the instructional team’s expectations. Note that instructors expect course participants will:

- Cooperate with the group.
- Be open minded to new ideas.
- Use what they learn in the course to perform effectively within an ICS organization.
- Participate actively in all of the training activities.
- Return to class at the stated time.
Instructor Notes: Present the following key points.

This course includes the following eight lessons:

- Unit 1: Course Overview (Current lesson)
- Unit 2: ICS Fundamentals Review
- Unit 3: Unified Command
- Unit 4: Incident/Event Assessment and Agency Guidance in Establishing Incident Objectives
- Unit 5: Planning Process
- Unit 6: Incident Resource Management
- Unit 7: Demobilization, Transfer of Command, and Closeout
- Unit 8: Course Summary

Review the Course Agenda with the participants.
Instructor Notes: Present the following key points.

Review the following course logistics:

- Sign-in sheet

- Housekeeping issues:
  - Breaks, including lunch breaks
  - Message and telephone location
  - Cell phone policy, including instructions on turning cell phones to “meeting” or “vibrate” during class times
  - Facilities
  - Other concerns
SUCCESSFUL COURSE COMPLETION

Instructor Notes: Present the following key points.

Successful course completion requires that participants:

- Participate in unit activities.
- Achieve 70% or higher on the final exam.
- Complete daily unit log: ICS Form 214 – ICS 300 version.
- Complete the end-of-course evaluation.

Refer the participants to the ICS Form 214 – ICS 300 version that appears on the next page. Explain that this unit log has been adapted for use during this course. Tell the participants that they are required to complete this log by the end of each day of training. Give the participants time to review the log.

Ask the participants if they have any questions.
## ACTIVITY LOG (ICS 214)

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### 6. Resources Assigned:

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<thead>
<tr>
<th>Name</th>
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### 7. Activity Log:

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### 8. Prepared by:

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<th>Position/Title:</th>
<th>Signature:</th>
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ICS 214, Page 1
Instructor Notes: Present the following key points.

**Purpose:** The purpose of this activity is to assign participants to teams and to provide the opportunity for the team members to introduce themselves, decide how they will operate during activities throughout the course, and determine a process for completing the daily unit log.

**Instructions:** Show the visual and explain the instructions for this activity:

1. The instructor will assign you to a team.

2. Meet in your assigned team to:
   - Introduce yourselves and state how you can contribute to the team.
   - Discuss how you will operate as a team during this course.
   - Determine a process for completing the daily Unit Log.

3. Be prepared to present operating ground rules in 10 minutes.

Debrief the activity by asking each team spokesperson to briefly present the operating ground rules that the team will use during activities and other assignments throughout this course, and to describe the process they’ll use for completing the daily unit log.
Instructor Notes: Present the following key points.

Show the visual and summarize this unit by asking the following questions:

Are you now able to:

- Describe the course scope and objectives?
- Explain how your assigned team will operate during this course?

Tell participants that the next unit is ICS Fundamentals Review, which will start after a break.
Agenda

ICS-300 – Intermediate ICS for Expanding Incidents
Sample Agenda

DAY 1

Morning Session

• Unit 1: Course Overview (1 hour)
• Unit 2: ICS Fundamentals Review (2 hours 30 minutes)

Afternoon Session

• Unit 3: Unified Command (2 hours 15 minutes)
• Unit 4: Incident/Event Assessment and Agency Guidance in Establishing Incident Objectives (2 hours 20 minutes)

DAY 2

Morning Session

• Unit 4: Incident/Event Assessment and Agency Guidance in Establishing Incident Objectives (continued)
• Unit 5: Planning Process (3 hours 45 minutes)

Afternoon Session

• Unit 5: Planning Process (continued)
• Unit 6: Incident Resource Management (3 hours)

DAY 3

Morning Session

• Unit 7: Demobilization, Transfer of Command, and Closeout (2 hours 10 minutes)
• Unit 8: Course Summary (1 hour)
Glossary

Accessible: Having the legally required features and/or qualities that ensure easy entrance, participation, and usability of places, programs, services, and activities by individuals with a wide variety of disabilities.

Acquisition Procedures: Used to obtain resources to support operational requirements.

Agency: A division of government with a specific function offering a particular kind of assistance. In the Incident Command System, agencies are defined either as jurisdictional (having statutory responsibility for incident management) or as assisting or cooperating (providing resources or other assistance). Governmental organizations are most often in charge of an incident, though in certain circumstances private sector organizations may be included. Additionally, nongovernmental organizations may be included to provide support.

Agency Administrator/Executive: The official responsible for administering policy for an agency or jurisdiction, having full authority for making decisions, and providing direction to the management organization for an incident.

Agency Dispatch: The agency or jurisdictional facility from which resources are sent to incidents.

Agency Representative: A person assigned by a primary, assisting, or cooperating Federal, State, tribal, or local government agency or private organization that has been delegated authority to make decisions affecting that agency's or organization's participation in incident management activities following appropriate consultation with the leadership of that agency.

All-Hazards: Describing an incident, natural or manmade, that warrants action to protect life, property, environment, public health or safety, and minimize disruptions of government, social, or economic activities.

Allocated Resources: Resources dispatched to an incident.

Area Command: An organization established to oversee the management of multiple incidents that are each being handled by a separate Incident Command System organization or to oversee the management of a very large or evolving incident that has multiple incident management teams engaged. An agency administrator/executive or other public official with jurisdictional responsibility for the incident usually makes the decision to establish an Area Command. An Area Command is activated only if necessary, depending on the complexity of the incident and incident management span-of-control considerations.

Assessment: The evaluation and interpretation of measurements and other information to provide a basis for decisionmaking.

Assigned Resources: Resources checked in and assigned work tasks on an incident.

Assignments: Tasks given to resources to perform within a given operational period that are based on operational objectives defined in the Incident Action Plan.

Assistant: Title for subordinates of principal Command Staff positions. The title indicates a level of technical capability, qualifications, and responsibility subordinate to the primary positions. Assistants may also be assigned to unit leaders.
**Glossary**

**Assisting Agency:** An agency or organization providing personnel, services, or other resources to the agency with direct responsibility for incident management. See Supporting Agency.

**Available Resources:** Resources assigned to an incident, checked in, and available for a mission assignment, normally located in a Staging Area.

**Badging:** Based on credentialing and resource ordering, provides incident-specific credentials and can be used to limit access to various incident sites.

**Base:** The location at which primary Logistics functions for an incident are coordinated and administered. There is only one Base per incident. (Incident name or other designator will be added to the term Base.) The Incident Command Post may be co-located with the Base.

**Branch:** The organizational level having functional or geographical responsibility for major aspects of incident operations. A Branch is organizationally situated between the Section Chief and the Division or Group in the Operations Section, and between the Section and Units in the Logistics Section. Branches are identified by the use of Roman numerals or by functional area.

**Cache:** A predetermined complement of tools, equipment, and/or supplies stored in a designated location, available for incident use.

**Camp:** A geographical site within the general incident area (separate from the Incident Base) that is equipped and staffed to provide sleeping, food, water, and sanitary services to incident personnel.

**Certifying Personnel:** Process that entails authoritatively attesting that individuals meet professional standards for the training, experience, and performance required for key incident management functions.

**Chain of Command:** A series of command, control, executive, or management positions in hierarchical order of authority.

**Check-In:** Process in which all responders, regardless of agency affiliation, must report in to receive an assignment in accordance with the procedures established by the Incident Commander.

**Chief:** The Incident Command System title for individuals responsible for management of functional Sections: Operations, Planning, Logistics, Finance/Administration, and Intelligence/Investigations (if established as a separate Section).

**Command:** The act of directing, ordering, or controlling by virtue of explicit statutory, regulatory, or delegated authority.

**Command Staff:** Consists of Public Information Officer, Safety Officer, Liaison Officer, and other positions as required, who report directly to the Incident Commander. They may have an assistant or assistants, as needed.

**Common Operating Picture:** Offers an overview of an incident thereby providing incident information enabling the Incident Commander/Unified Command and any supporting agencies and organizations to make effective, consistent, and timely decisions.
**Common Terminology:** Normally used words and phrases-avoids the use of different words/phrases for same concepts, consistency.

**Communications:** Process of transmission of information through verbal, written, or symbolic means.

**Communications/Dispatch Center:** Agency or interagency dispatcher centers, 911 call centers, emergency control or command dispatch centers, or any naming convention given to the facility and staff that handles emergency calls from the public and communication with emergency management/response personnel. Center can serve as a primary coordination and support element of the multiagency coordination system (MACS) for an incident until other elements of MACS are formally established.

**Complex:** Two or more individual incidents located in the same general area and assigned to a single Incident Commander or to Unified Command.

**Continuity of Government (COG):** Activities that address the continuance of constitutional governance. COG planning aims to preserve and/or reconstitute the institution of government and ensure that a department or agency's constitutional, legislative, and/or administrative responsibilities are maintained. This is accomplished through succession of leadership, the predelegation of emergency authority, and active command and control during response and recovery operations.

**Continuity of Operations (COOP) Plans:** Planning should be instituted (including all levels of government) across the private sector and nongovernmental organizations, as appropriate, to ensure the continued performance of core capabilities and/or critical government operations during any potential incident.

**Cooperating Agency:** An agency supplying assistance other than direct operational or support functions or resources to the incident management effort.

**Coordinate:** To advance systematically an analysis and exchange of information among principals who have or may have a need to know certain information to carry out specific incident management responsibilities.

**Corrective Actions:** Implementing procedures that are based on lessons learned from actual incidents or from training and exercises.

**Credentialing:** Providing documentation that can authenticate and verify the certification and identity of designated incident managers and emergency responders.

**Critical Infrastructure:** Systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters.

**Delegation of Authority:** A statement provided to the Incident Commander by the Agency Executive delegating authority and assigning responsibility. The Delegation of Authority can include objectives, priorities, expectations, constraints, and other considerations or guidelines as needed. Many agencies require written Delegation of Authority to be given to Incident
Commanders prior to their assuming command on larger incidents. Same as the Letter of Expectation.

**Demobilization:** The orderly, safe, and efficient return of an incident resource to its original location and status.

**Department Operations Center (DOC):** An emergency operations center (EOC) specific to a single department or agency. Its focus is on internal agency incident management and response. DOCs are often linked to and, in most cases, are physically represented in a combined agency EOC by authorized agent(s) for the department or agency.

**Deputy:** A fully qualified individual who, in the absence of a superior, can be delegated the authority to manage a functional operation or perform a specific task. In some cases a deputy can act as relief for a superior, and therefore must be fully qualified in the position. Deputies generally can be assigned to the Incident Commander, General Staff, and Branch Directors.

**DHS:** Department of Homeland Security

**Director:** The Incident Command System title for individuals responsible for supervision of a Branch.

**Dispatch:** The ordered movement of a resource or resources to an assigned operational mission or an administrative move from one location to another.

**Division:** The partition of an incident into geographical areas of operation. Divisions are established when the number of resources exceeds the manageable span of control of the Operations Chief. A Division is located within the Incident Command System organization between the Branch and resources in the Operations Section.

**Emergency:** Any incident, whether natural or manmade, that requires responsive action to protect life or property. Under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, an emergency means any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.

**Emergency Management Assistance Compact (EMAC):** A congressionally ratified organization that provides form and structure to interstate mutual aid. Through EMAC, a disaster-affected State can request and receive assistance from other member States quickly and efficiently, resolving two key issues upfront: liability and reimbursement.

**Emergency Management/Response Personnel:** Includes Federal, State, territorial, tribal, substate regional, and local governments, private-sector organizations, critical infrastructure owners and operators, nongovernmental organizations, and all other organizations and individuals who assume an emergency management role. Also known as emergency responders.

**Emergency Operations Center (EOC):** The physical location at which the coordination of information and resources to support incident management (on-scene operations) activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction.
EOCs may be organized by major functional disciplines (e.g., fire, law enforcement, and medical services), by jurisdiction (e.g., Federal, State, regional, tribal, city, county), or some combination thereof.

**Emergency Operations Plan:** The ongoing plan maintained by various jurisdictional levels for responding to a wide variety of potential hazards.

**Emergency Public Information:** Information that is disseminated primarily in anticipation of an emergency or during an emergency. In addition to providing situational information to the public, it also frequently provides directive actions required to be taken by the general public.

**Essential Records:** Information systems and applications, electronic and hardcopy documents, references, and records needed to support essential functions during a continuity event. The two basic categories of essential records are emergency operating records and rights and interest records. Emergency operating records are essential to the continued functioning or reconstitution of an organization. Rights and interest records are critical to carrying out an organization’s essential legal and financial functions and vital to the protection of the legal and financial rights of individuals who are directly affected by that organization’s activities. The term “vital records” refers to a specific sub-set of essential records relating to birth, death, and marriage documents.

**Evacuation:** Organized, phased, and supervised withdrawal, dispersal, or removal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe areas.

**Event:** See Planned Event.

**Federal:** Of or pertaining to the Federal Government of the United States of America.

**FEMA:** Federal Emergency Management Agency

**Field Operations Guide:** Durable pocket or desk guide that contains essential information required to perform specific assignments or functions.

**Finance/Administration Section:** The Section responsible for all administrative and financial considerations surrounding an incident.

**Function:** Refers to the five major activities in the Incident Command System: Command, Operations, Planning, Logistics, and Finance/Administration. The term function is also used when describing the activity involved (e.g., the planning function). A sixth function, Intelligence/Investigations, may be established, if required, to meet incident management needs.

**General Staff:** A group of incident management personnel organized according to function and reporting to the Incident Commander. The General Staff normally consists of the Operations Section Chief, Planning Section Chief, Logistics Section Chief, and Finance/Administration Section Chief. An Intelligence/Investigations Chief may be established, if required, to meet incident management needs.

**Group:** Established to divide the incident management structure into functional areas of operation. Groups are composed of resources assembled to perform a special function not
necessarily within a single geographic division. Groups, when activated, are located between Branches and resources in the Operations Section. See Division.

**Hazard:** Something that is potentially dangerous or harmful, often the root cause of an unwanted outcome.

**Homeland Security Exercise and Evaluation Program (HSEEP):** A capabilities- and performance-based exercise program that provides a standardized methodology and terminology for exercise design, development, conduct, evaluation, and improvement planning.

**HSPD-5:** Homeland Security Presidential Directive 5, "Management of Domestic Incidents"

**HSPD-7:** Homeland Security Presidential Directive 7, "Critical Infrastructure, Identification, Prioritization, and Protection"

**Identification and Authentication:** For security purposes, process required for individuals and organizations that access the NIMS information management system and, in particular, those that contribute information to the system (e.g., situation reports).

**Incident:** An occurrence or event, natural or manmade, that requires a response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, civil unrest, wildland and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, tsunamis, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response.

**Incident Action Plan (IAP):** An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. It may include the identification of operational resources and assignments. It may also include attachments that provide direction and important information for management of the incident during one or more operational periods.

**Incident Command:** Responsible for overall management of the incident and consists of the Incident Commander, either single or unified command, and any assigned supporting staff.

**Incident Commander (IC):** The individual responsible for all incident activities, including the development of strategies and tactics and the ordering and the release of resources. The Incident Commander has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site.

**Incident Command Post (ICP):** The field location where the primary functions are performed. The ICP may be co-located with the incident base or other incident facilities.

**Incident Command System (ICS):** A standardized on-scene emergency management construct specifically designed to provide for the adoption of an integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by jurisdictional boundaries. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to aid in the management of resources during incidents. It is used for all kinds of emergencies and is applicable to small as well as large and complex incidents. ICS is used by various jurisdictions and functional agencies, both public and private, to organize field-level incident management operations.
**Glossary**

**Incident Management**: The broad spectrum of activities and organizations providing effective and efficient operations, coordination, and support applied at all levels of government, utilizing both governmental and nongovernmental resources to plan for, respond to, and recover from an incident, regardless of cause, size, or complexity.

**Incident Management Team (IMT)**: An Incident Commander and the appropriate Command and General Staff personnel assigned to an incident. IMTs are generally grouped in five types. Types I and II are national teams, Type III are State or regional, Type IV are discipline or large jurisdiction-specific, while Type V are ad hoc incident command organizations typically used by smaller jurisdictions.

**Incident Objectives**: Statements of guidance and direction needed to select appropriate strategy(s) and the tactical direction of resources. Incident objectives are based on realistic expectations of what can be accomplished when all allocated resources have been effectively deployed. Incident objectives must be achievable and measurable, yet flexible enough to allow strategic and tactical alternatives.

**Information Management**: The collection, organization, and control over the structure, processing, and delivery of information from one or more sources and distribution to one or more audiences who have a stake in that information.

**Initial Actions**: The actions taken by those responders first to arrive at an incident site.

**Initial Response**: Resources initially committed to an incident.

**Intelligence/Investigations**: Different from operational and situational intelligence gathered and reported by the Planning Section. Intelligence/Investigations gathered within the Intelligence/Investigations function is information that either leads to the detection, prevention, apprehension, and prosecution of criminal activities (or the individual(s) involved) including terrorist incidents or information that leads to determination of the cause of a given incident (regardless of the source) such as public health events or fires with unknown origins.

**Interoperability**: The ability of emergency management/response personnel to interact and work well together. In the context of technology, interoperability is also defined as the emergency communications system that should be the same or linked to the same system that the jurisdiction uses for nonemergency procedures, and should effectively interface with national standards as they are developed. The system should allow the sharing of data with other jurisdictions and levels of government during planning and deployment.

**Job Aid**: Checklist or other visual aid intended to ensure that specific steps of completing a task or assignment are accomplished.

**Joint Field Office (JFO)**: A temporary Federal facility established locally to provide a central point for Federal, State, tribal, and local executives with responsibility for incident oversight, direction, and/or assistance to effectively coordinate protection, prevention, preparedness, response, and recovery actions.

**Joint Information Center (JIC)**: A facility established to coordinate all incident-related public information activities. It is the central point of contact for all news media. Public information officials from all participating agencies should co-locate at the JIC.
Joint Information System (JIS): Integrates incident information and public affairs into a cohesive organization designed to provide consistent, coordinated, accurate, accessible, timely, and complete information during crisis or incident operations. The mission of the JIS is to provide a structure and system for developing and delivering coordinated interagency messages; developing, recommending, and executing public information plans and strategies on behalf of the Incident Commander; advising the Incident Commander concerning public affairs issues that could affect a response effort; and controlling rumors and inaccurate information that could undermine public confidence in the emergency response effort.

Jurisdiction: A range or sphere of authority. Public agencies have jurisdiction at an incident related to their legal responsibilities and authority. Jurisdictional authority at an incident can be political or geographical (e.g., Federal, State, tribal, and local boundary lines) or functional (e.g., law enforcement, public health).

Jurisdictional Agency: The agency having jurisdiction and responsibility for a specific geographical area, or a mandated function.

Key Resources: Any publicly or privately controlled resources essential to the minimal operations of the economy and government.

Letter of Expectation: See Delegation of Authority.

Liaison: A form of communication for establishing and maintaining mutual understanding and cooperation.

Liaison Officer: A member of the Command Staff responsible for coordinating with representatives from cooperating and assisting agencies or organizations.

Local Government: A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government; an Indian tribe or authorized tribal entity, or in Alaska a Native village or Alaska Regional Native Corporation; a rural community, unincorporated town or village, or other public entity. See Section 2 (10), Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135 (2002).

Logistics: Providing resources and other services to support incident management.

Logistics Section: The Section responsible for providing facilities, services, and material support for the incident.

Management by Objectives: A management approach that involves a five-step process for achieving the incident goal. The Management by Objectives approach includes the following: establishing overarching incidents objectives; developing strategies based on overarching incidents objectives; developing and issuing assignments, plans, procedures, and protocols; establishing specific, measurable tactics or tasks for various incident management, functional activities, and directing efforts to attain them, in support of defined strategies; and documenting results to measure performance and facilitate corrective action.

Managers: Individuals within Incident Command System organizational Units that are assigned specific managerial responsibilities (e.g., Staging Area Manager or Camp Manager).
Metrics: Measurable standards that are useful in describing a resource’s capability.

Mitigation: The capabilities necessary to reduce loss of life and property by lessening the impact of disasters. Mitigation capabilities include, but are not limited to, community-wide risk reduction projects; efforts to improve the resilience of critical infrastructure and key resource lifelines; risk reduction for specific vulnerabilities from natural hazards or acts of terrorism; and initiatives to reduce future risks after a disaster has occurred.

Mobilization: The process and procedures used by all organizations-Federal, State, tribal, and local-for activating, assembling, and transporting all resources that have been requested to respond to or support an incident.

Mobilization Guide: Reference document used by organizations outlining agreements, processes, and procedures used by all participating agencies/organizations for activating, assembling, and transporting resources.

Multiagency Coordination (MAC) Group: Typically, administrators/executives, or their appointed representatives, who are authorized to commit agency resources and funds, are brought together and form MAC Groups. MAC Groups may also be known as multiagency committees, emergency management committees, or as otherwise defined by the system. It can provide coordinated decisionmaking and resource allocation among cooperating agencies, and may establish the priorities among incidents, harmonize agency policies, and provide strategic guidance and direction to support incident management activities.

Multiagency Coordination System(s) (MACS): Multiagency coordination systems provide the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination. The elements of multiagency coordination systems include facilities, equipment, personnel, procedures, and communications. Two of the most commonly used elements are emergency operations centers and MAC Groups. These systems assist agencies and organizations responding to an incident.

Multijurisdictional Incident: An incident requiring action from multiple agencies that each have jurisdiction to manage certain aspects of an incident. In the Incident Command System, these incidents will be managed under Unified Command.

Mutual Aid and Assistance Agreement: Written or oral agreement between and among agencies/organizations and/or jurisdictions that provides a mechanism to quickly obtain emergency assistance in the form of personnel, equipment, materials, and other associated services. The primary objective is to facilitate rapid, short-term deployment of emergency support prior to, during, and/or after an incident.

National: Of a nationwide character, including the Federal, State, tribal, and local aspects of governance and policy.

National Incident Management System (NIMS): Provides a systematic, proactive approach guiding government agencies at all levels, the private sector, and nongovernmental organizations to work seamlessly to prepare for, prevent, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life or property and harm to the environment.
**Glossary**

**National Infrastructure Protection Plan (NIPP):** Provides a coordinated approach to critical infrastructure and key resources protection roles and responsibilities for Federal, State, tribal, local, and private-sector security partners. The NIPP sets national priorities, goals, and requirements for effective distribution of funding and resources that will help ensure that our government, economy, and public services continue in the event of a terrorist attack or other disaster.

**National Integration Center (NIC) Incident Management Systems Integration Division:** Established by the Secretary of Homeland Security to provide strategic direction for and oversight of NIMS by supporting both routine maintenance and the continuous refinement of the system and its components over the long term. The Center oversees all aspects of NIMS including the development of compliance criteria and implementation activities at Federal, State, and local levels. It provides guidance and support to jurisdictions and incident management and responder organizations as they adopt the system.

**National Response Framework (NRF):** Guides how the Nation conducts all-hazards response. The Framework documents the key response principles, roles, and structures that organize national response. It describes how communities, States, the Federal Government, and private-sector and nongovernmental partners apply these principles for a coordinated, effective national response. And it describes special circumstances where the Federal Government exercises a larger role, including incidents where Federal interests are involved and catastrophic incidents where a State would require significant support. It allows first responders, decisionmakers, and supporting entities to provide a unified national response.

**NFPA:** National Fire Protection Association

**Nongovernmental Organization (NGO):** An entity with an association that is based on interests of its members, individuals, or institutions. It is not created by a government, but it may work cooperatively with government. Such organizations serve a public purpose, not a private benefit. Examples of NGOs include faith-based charity organizations and the American Red Cross.

**Officer:** The ICS title for the personnel responsible for the Command Staff positions of Safety, Liaison, and Public Information.

**Operational Period:** The time scheduled for executing a given set of operation actions, as specified in the Incident Action Plan. Operational periods can be of various lengths, although usually they last 12-24 hours.

**Operations Section:** The Section responsible for all tactical incident operations and implementation of the Incident Action Plan. In the Incident Command System, it normally includes subordinate Branches, Divisions, and/or Groups.

**Organization:** Any association or group of persons with like objectives. Examples include, but are not limited to, governmental departments and agencies, private-sector organizations, and nongovernmental organizations.

**People with Disabilities and Access and Functional Needs:** Community members may have additional needs before, during, and after an incident in functional areas, including but not limited to: maintaining independence, communication, transportation, supervision, and medical care. Individuals in need of additional response assistance may include those who have
disabilities and others with access and functional needs, such as people who live in institutionalized settings; who are seniors; who are children; who are from diverse cultures; who have limited English proficiency or are non-English speaking; or who are transportation disadvantaged.

**Personal Responsibility**: All responders are expected to use good judgment and be accountable for their actions.

**Personnel Accountability**: The ability to account for the location and welfare of incident personnel. It is accomplished when supervisors ensure that Incident Command System principles and processes are functional and that personnel are working within established incident management guidelines.

**Plain Language**: Communication that can be understood by the intended audience and meets the purpose of the communicator. For the purposes of NIMS, plain language is designed to eliminate or limit the use of codes and acronyms, as appropriate, during incident response involving more than a single agency.

**Planned Event**: A planned, nonemergency activity (e.g., sporting event, concert, parade, etc.).

**Planning Meeting**: A meeting held as needed before and throughout the duration of an incident to select specific strategies and tactics for incident control operations and for service and support planning. For larger incidents, the Planning Meeting is a major element in the development of the Incident Action Plan.

**Planning Section**: The Section responsible for the collection, evaluation, and dissemination of operational information related to the incident, and for the preparation and documentation of the Incident Action Plan. This Section also maintains information on the current and forecasted situation and on the status of resources assigned to the incident.

**PPD-8**: Presidential Policy Directive 8 (PPD-8) describes the Nation’s approach to preparedness—one that involves the whole community, including individuals, businesses, community- and faith-based organizations, schools, tribes, and all levels of government (Federal, State, Local, Tribal, and Territorial).

**Pre-Positioned Resources**: Resources moved to an area near the expected incident site in response to anticipated resource needs.

**Preparedness**: Actions taken to plan, organize, equip, train, and exercise to build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk. Within NIMS, preparedness focuses on the following elements: planning; procedures and protocols; training and exercises; personnel qualifications, licensure, and certification; and equipment certification.

**Preparedness Organizations**: The groups that provide coordination for emergency management and incident response activities before a potential incident. These organizations range from groups of individuals to small committees to large standing organizations that represent a wide variety of committees, planning groups, and other organizations (e.g., Citizen Corps, Local Emergency Planning Committees, Critical Infrastructure Sector Coordinating Councils).
Prevention: The capabilities necessary to avoid, prevent, or stop a threatened or actual act of terrorism. Prevention capabilities include, but are not limited to, information sharing and warning; domestic counterterrorism; and preventing the acquisition or use of Weapons of Mass Destruction (WMD). For purposes of the prevention framework called for in the PPD-8 directive, the term “prevention” refers to preventing imminent threats.

Private Sector: Organizations and entities that are not part of any governmental structure. The private sector includes for-profit and not-for-profit organizations, formal and informal structures, commerce, and industry.

Protocols: Sets of established guidelines for actions (which may be designated by individuals, teams, functions, or capabilities) under various specified conditions.

Public Information: Processes, procedures, and systems for communicating timely, accurate, accessible information on the incident's cause, size, and current situation; resources committed; and other matters of general interest to the public, responders, and additional stakeholders (both directly affected and indirectly affected).

Public Information Officer (PIO): A member of the Command Staff responsible for interfacing with the public and media and/or with other agencies with incident-related information requirements.

Publications Management: Subsystem used to manage the development, publication control, publication supply, and distribution of NIMS materials.

Recovery: The capabilities necessary to assist communities affected by an incident to recover effectively, including, but not limited to, rebuilding infrastructure systems; providing adequate interim and long-term housing for survivors; restoring health, social, and community services; promoting economic development; and restoring natural and cultural resources.

Recovery Plan: A plan developed to restore the affected area or community.

Reimbursement: Mechanism used to recoup funds expended for incident-specific activities.

Resource Management: Efficient emergency management and incident response requires a system for identifying available resources at all jurisdictional levels to enable timely and unimpeded access to resources needed to prepare for, respond to, or recover from an incident. Resource management under NIMS includes mutual aid and assistance agreements; the use of special Federal, State, tribal, and local teams; and resource mobilization protocols.

Resource Tracking: A standardized, integrated process conducted prior to, during, and after an incident by all emergency management/response personnel and their associated organizations.

Resources: Personnel and major items of equipment, supplies, and facilities available or potentially available for assignment to incident operations and for which status is maintained. Resources are described by kind and type and may be used in operational support or supervisory capacities at an incident or at an emergency operations center.

Response: The capabilities necessary to save lives, protect property and the environment, and meet basic human needs after an incident has occurred.
Glossary

**Retrograde:** To return resources back to their original location.

**Safety Officer:** A member of the Command Staff responsible for monitoring incident operations and advising the Incident Commander on all matters relating to operational safety, including the health and safety of emergency responder personnel.

**Section:** The organizational level having responsibility for a major functional area of incident management (e.g., Operations, Planning, Logistics, Finance/Administration, and Intelligence/Investigations (if established)). The Section is organizationally situated between the Branch and the Incident Command.

**Single Resource:** Individual personnel, supplies, and equipment items, and the operators associated with them.

**Situation Report:** Document that often contains confirmed or verified information regarding the specific details relating to an incident.

**Span of Control:** The number of resources for which a supervisor is responsible, usually expressed as the ratio of supervisors to individuals. (Under NIMS, an appropriate span of control is between 1:3 and 1:7, with optimal being 1:5.)

**Staging Area:** Established for the temporary location of available resources. A Staging Area can be any location in which personnel, supplies, and equipment can be temporarily housed or parked while awaiting operational assignment.

**Standard Operating Guidelines:** A set of instructions having the force of a directive, covering those features of operations which lend themselves to a definite or standardized procedure without loss of effectiveness.

**Standard Operating Procedure (SOP):** Complete reference document or an operations manual that provides the purpose, authorities, duration, and details for the preferred method of performing a single function or a number of interrelated functions in a uniform manner.

**State:** When capitalized, refers to any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. See Section 2 (14), Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135 (2002).

**Status Report:** Relays information specifically related to the status of resources (e.g., the availability or assignment of resources).

**Strategy:** The general plan or direction selected to accomplish incident objectives.

**Strike Team:** A set number of resources of the same kind and type that have an established minimum number of personnel, common communications, and a leader.

**Substate Region:** A grouping of jurisdictions, counties, and/or localities within a State brought together for specified purposes (e.g., homeland security, education, public health), usually containing a governance structure.
Glossary

**Supervisor:** The Incident Command System title for an individual responsible for a Division or Group.

**Supporting Agency:** An agency that provides support and/or resource assistance to another agency. See Assisting Agency.

**Supporting Technology:** Any technology that may be used to support NIMS. These technologies include orthophoto mapping, remote automatic weather stations, infrared technology, and communications.

**System:** An integrated combination of people, property, environment, and processes that work in a coordinated manner to achieve a specific desired output under specific conditions.

**Tactics:** Deploying and directing resources on an incident to accomplish the objectives designated by the strategy.

**Task Force:** Any combination of resources assembled to support a specific mission or operational need. All resource elements within a Task Force must have common communications and a designated leader.

**Technical Assistance:** Support provided to State, tribal, and local jurisdictions when they have the resources but lack the complete knowledge and skills needed to perform a required activity (such as mobile-home park design or hazardous material assessments).

**Technical Specialist:** Individual with special skills that can be used anywhere within the Incident Command System organization. No minimum qualifications are prescribed, as technical specialists normally perform the same duties during an incident that they perform in their everyday jobs, and they are typically certified in their fields or professions.

**Technology Standards:** Standards for key systems may be required to facilitate the interoperability and compatibility of major systems across jurisdictional, geographic, and functional lines.

**Technology Support:** Facilitates incident operations and sustains the research and development programs that underpin the long-term investment in the Nation's future incident management capabilities.

**Terrorism:** Under the Homeland Security Act of 2002, terrorism is defined as activity that involves an act dangerous to human life or potentially destructive of critical infrastructure or key resources; is a violation of the criminal laws of the United States or of any State or other subdivision of the United States in which it occurs; and is intended to intimidate or coerce the civilian population, or influence or affect the conduct of a government by mass destruction, assassination, or kidnapping. See Section 2 (15), Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135 (2002).

**Threat:** An indication of possible violence, harm, or danger.

**Tools:** Those instruments and capabilities that allow for the professional performance of tasks, such as information systems, agreements, doctrine, capabilities, and legislative authorities.
**Glossary**

**Tracking and Reporting Resources:** A standardized, integrated process conducted throughout the duration of an incident. This process provides incident managers with a clear picture of where resources are located; helps staff prepare to receive resources; protects the safety of personnel and security of supplies and equipment; and enables the coordination of movement of personnel, equipment, and supplies.

**Tribal:** Referring to any Indian tribe, band, nation, or other organized group or community, including any Alaskan Native Village as defined in or established pursuant to the Alaskan Native Claims Settlement Act (85 Stat. 688) [43 U.S.C.A. and 1601 et seq.], that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

**Type:** An Incident Command System resource classification that refers to capability. Type 1 is generally considered to be more capable than Types 2, 3, or 4, respectively, because of size, power, capacity, or (in the case of incident management teams) experience and qualifications.

**Typing Resources:** Resources are organized by category, kind, and type, including size, capacity, capability, skill, and other characteristics. This makes the resource ordering and dispatch process within and across organizations and agencies, and between governmental and nongovernmental entities, more efficient, and ensures that the resources received are appropriate to their needs.

**Unified Approach:** A major objective of preparedness efforts is to ensure mission integration and interoperability when responding to emerging crises that cross functional and jurisdictional lines, as well as between public and private organizations.

**Unified Area Command:** Command system established when incidents under an Area Command are multijurisdictional. See Area Command.

**Unified Command (UC):** An Incident Command System application used when more than one agency has incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the UC, often the senior person from agencies and/or disciplines participating in the UC, to establish a common set of objectives and strategies and a single Incident Action Plan.

**Unit:** The organizational element with functional responsibility for a specific incident Planning, Logistics, or Finance/Administration activity.

**Unit Leader:** The individual in charge of managing Units within an Incident Command System (ICS) functional section. The Unit can be staffed by a number of support personnel providing a wide range of services. Some of the support positions are preestablished within ICS (e.g., Base Camp Manager), but many others will be assigned as Technical Specialists.

**Unity of Command:** Principle of management stating that each individual involved in incident operations will be assigned to only one supervisor.

**Volunteer:** For the purposes of NIMS, any individual accepted to perform services by the lead agency (which has authority to accept volunteer services) when the individual performs services without promise, expectation, or receipt of compensation for services performed. See 16 U.S.C. 742f(c) and 29 CFR 553.101.
UNIT 2: ICS FUNDAMENTALS REVIEW
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Unit Objectives

At the end of this unit, the participants should be able to:

- Describe how ICS fits into the Command and Management component of NIMS.
- Describe ICS reporting and working relationships for Technical Specialists and Agency Representatives.
- Describe reporting relationships and information flow within the organization.
- Match responsibility statements to each ICS organizational element.
- List the ICS positions that may include Deputies and describe Deputy roles and responsibilities.
- Describe differences between Deputies and Assistants.
- Describe how incidents can best be managed by appropriate and early designation of primary staff members and by delegating authority to the lowest practical level.
- List the minimum staffing requirements within each organizational element for at least two incidents of different sizes.
- Describe the importance of establishing proper span of control for aviation resources and facilities.

Scope

- Unit Introduction and Objectives
- Applying ICS
  - ICS Review Materials: ICS History and Features
- Mandates
- Command Principles
  - ICS Review Materials: Command
- Incident Management Roles
- Communication Principles
- Organizational Structure
  - ICS Review Materials: Incident Complexity
  - ICS Review Materials: Organizational Elements
  - ICS Review Materials: Deputies, Assistants, Technical Specialists, and Agency Representatives
- Resource Needs
- ICS Key Concepts Applied Activity
- Summary

Methodology

This unit is divided into two parts. In the first part, the instructors will introduce the unit by displaying visuals that outline the unit objectives. After reviewing the unit objectives, the instructors will show a series of visuals while reviewing key ICS principles learned in previous courses. Activities and review questions require participants to recall key principles. Throughout the activities, instructors should encourage the participants to refer to the ICS review materials embedded in the unit.
Methodology (Continued)

The second part of the unit consists of an applied activity in which participants review a scenario and answer questions that pertain to fundamental ICS concepts. Each team presents the answers to their designated questions to the whole class, and the instructors discuss the learning points of each question. After answering any questions that the participants have, the instructors will summarize the key points from the unit and transition to Unit 3.

Materials

- PowerPoint visuals 2.1 – 2.42
- Instructor Guide
- PowerPoint slides and a computer display system
- Student Manual

Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit Introduction and Objectives</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Applying ICS</td>
<td>15 minutes</td>
</tr>
<tr>
<td>Mandates</td>
<td>5 minutes</td>
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<tr>
<td>Command Principles</td>
<td>10 minutes</td>
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<tr>
<td>Incident Management Roles</td>
<td></td>
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<tr>
<td>Communication Principles</td>
<td>10 minutes</td>
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<tr>
<td>Organizational Structure</td>
<td>30 minutes</td>
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<tr>
<td>Resource Needs</td>
<td>10 minutes</td>
</tr>
<tr>
<td>ICS Key Concepts Applied Activity</td>
<td>60 minutes</td>
</tr>
<tr>
<td>Summary</td>
<td>5 minutes</td>
</tr>
</tbody>
</table>

**Total Time** 2 hours 30 minutes
Instructor Notes: Present the following key points.

Unit 2 is a review of the fundamental ICS principles learned in prerequisite courses. This unit provides a review of basic ICS organizational and staffing concepts.
UNIT OBJECTIVES

Instructor Notes: Present the following key points.

Tell the participants that by the end of this unit, they should be able to:

- Describe how ICS fits into the Command and Management component of NIMS.
- Describe ICS reporting and working relationships for Technical Specialists and Agency Representatives.
- Describe reporting relationships and information flow within the organization.
- Match responsibility statements to each ICS organizational element.
- List the ICS positions that may include Deputies and describe Deputy roles and responsibilities.
UNIT OBJECTIVES

Instructor Notes: Present the following key points.

Continue reviewing the following unit objectives:

- Describe differences between Deputies and Assistants.
- Describe how incidents can best be managed by appropriate and early designation of primary staff members and by delegating authority to the lowest practical level.
- List the minimum staffing requirements within each organizational element for at least two incidents of different sizes.
- Describe the importance of establishing proper span of control for aviation resources and facilities.
Instructor Notes: Present the following key points.

Show the visual and explain the instructions for this activity:

1. Working in your teams, answer the questions below:
   - What is ICS?
   - What are the benefits and features of ICS?
   - What is an example of a nonemergency situation in which ICS could be used?

   You should refer to the review materials on the next several pages to help you formulate your answers.

2. Record your answers on chart paper.

3. Choose a spokesperson and be ready to present your answers to the group in 10 minutes.

Debrief the activity as follows:

1. Ask Team 1 to answer the first question.

2. Ask Team 2 if they had a different answer.

3. If not mentioned by either team, add the following:
   - ICS is a standardized, on-scene, all-hazard incident management concept. It allows users to adopt an integrated organizational structure to match the complexities and demands of single or multiple incidents without being hindered by jurisdictional boundaries.
4. Ask Team 3 to answer the second question.

5. Ask Team 4 if they had a different answer.

6. If not mentioned by either team, add the following:
   - Meets the needs of incidents of any type or kind.
   - Allows personnel from a variety of agencies to meld rapidly into a common management structure.
   - Provides logistical and administrative support to operational staff.
   - Is cost effective by avoiding duplication of efforts.

7. Ask Team 5 to answer the third question.

8. Ask Team 6 if they had a different answer.

9. If not mentioned by either team, add the following instances in which ICS can be used:
   - Routine or planned events
   - Fires, hazardous materials, and multicasualty incidents
   - Multijurisdiction and multiagency disasters, such as earthquakes, hurricanes, floods, or winter storms
   - Search and rescue missions
   - Biological outbreaks and disease containment
   - Acts of terrorism
ICS was developed in the 1970s following a series of catastrophic fires in California's urban interface. Property damage ran into the millions, and many people died or were injured. The personnel assigned to determine the causes of these outcomes studied the case histories and discovered that response problems could rarely be attributed to lack of resources or failure of tactics. Surprisingly, studies found that response problems were far more likely to result from inadequate management than from any other single reason.

The Incident Command System:

- Is a standardized management tool for meeting the demands of small or large emergency or nonemergency situations.
- Represents "best practices" and has become the standard for emergency management across the country.
- May be used for planned events, natural disasters, and acts of terrorism.
- Is a key feature of the National Incident Management System (NIMS).

As stated in NIMS, “The ICS is a management system designed to enable effective and efficient domestic incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to enable effective and efficient domestic incident management. A basic premise of ICS is that it is widely applicable. It is used to organize both near-term and long-term field-level operations for a broad spectrum of emergencies, from small to complex incidents, both natural and manmade. ICS is used by all levels of government—Federal, State, local, and tribal—as well as by many private-sector and nongovernmental organizations. ICS is also applicable across disciplines. It is normally structured to facilitate activities in five major functional areas: command, operations, planning, logistics, and finance and administration.”
ICS Features

The 14 essential ICS features are listed below:

- **Common Terminology:** Using common terminology helps to define organizational functions, incident facilities, resource descriptions, and position titles.

- **Modular Organization:** The Incident Command organizational structure develops in a modular fashion that is based on the size and complexity of the incident, as well as the specifics of the hazard environment created by the incident.

- **Management by Objectives:** Includes establishing overarching objectives; developing strategies based on incident objectives; developing and issuing assignments, plans, procedures, and protocols; establishing specific, measurable objectives for various incident management functional activities and directing efforts to attain them, in support of defined strategies; and documenting results to measure performance and facilitate corrective action.

- **Incident Action Planning:** Incident Action Plans (IAPs) provide a coherent means of communicating the overall incident objectives in the context of both operational and support activities.

- **Manageable Span of Control:** Span of control is key to effective and efficient incident management. Within ICS, the span of control of any individual with incident management supervisory responsibility should range from three to seven subordinates.

- **Incident Locations and Facilities:** Various types of operational support facilities are established in the vicinity of an incident to accomplish a variety of purposes. Typical designated facilities include Incident Command Posts, Bases, Camps, Staging Areas, Mass Casualty Triage Areas, and others as required.

- **Comprehensive Resource Management:** Maintaining an accurate and up-to-date picture of resource utilization is a critical component of incident management. Resources are defined as personnel, teams, equipment, supplies, and facilities available or potentially available for assignment or allocation in support of incident management and emergency response activities.

- **Integrated Communications:** Incident communications are facilitated through the development and use of a common communications plan and interoperable communications processes and architectures.

- **Establishment and Transfer of Command:** The command function must be clearly established from the beginning of an incident. When command is transferred, the process must include a briefing that captures all essential information for continuing safe and effective operations.

(Continued on the next page.)
ICS Features (Continued)

- **Chain of Command and Unity of Command:** Chain of command refers to the orderly line of authority within the ranks of the incident management organization. Unity of command means that every individual has a designated supervisor to whom he or she reports at the scene of the incident. These principles clarify reporting relationships and eliminate the confusion caused by multiple, conflicting directives. Incident managers at all levels must be able to control the actions of all personnel under their supervision.

- **Unified Command:** In incidents involving multiple jurisdictions, a single jurisdiction with multiagency involvement, or multiple jurisdictions with multiagency involvement, Unified Command allows agencies with different legal, geographic, and functional authorities and responsibilities to work together effectively without affecting individual agency authority, responsibility, or accountability.

- **Accountability:** Effective accountability at all jurisdictional levels and within individual functional areas during incident operations is essential. To that end, the following principles must be adhered to:
  - **Check-In:** All responders, regardless of agency affiliation, must report in to receive an assignment in accordance with the procedures established by the Incident Commander.
  - **Incident Action Plan:** Response operations must be directed and coordinated as outlined in the IAP.
  - **Unity of Command:** Each individual involved in incident operations will be assigned to only one supervisor.
  - **Personal Responsibility:** All responders are expected to use good judgment and be accountable for their actions.
  - **Span of Control:** Supervisors must be able to adequately supervise and control their subordinates, as well as communicate with and manage all resources under their supervision.
  - **Resource Tracking:** Supervisors must record and report resource status changes as they occur.

- **Dispatch/Deployment:** Personnel and equipment should respond only when requested or when dispatched by an appropriate authority.

- **Information and Intelligence Management:** The incident management organization must establish a process for gathering, analyzing, sharing, and managing incident-related information and intelligence.
MANDATES

Visual 2.5

Presidental Directives

HSPD-5 Management of Domestic Incidents
PPD-8 National Preparedness

National Incident Management System (NIMS)

Instructor Notes: Present the following key points.

Preparedness is key to strengthening the security and resilience of the United States through systematic preparation for the threats that pose the greatest risk to the security of the Nation, including acts of terrorism, cyber attacks, pandemics, and catastrophic natural disasters. National preparedness is the shared responsibility of all levels of government, the private and nonprofit sectors, and individual citizens. To address this need, Homeland Security Presidential Directive 5: Management of Domestic Incidents (HSPD-5) and Presidential Policy Directive 8: National Preparedness (PPD-8) establish national initiatives that develop a common approach to preparedness and response.

- **HSPD-5** identifies steps for improved coordination in response to incidents. It requires the Department of Homeland Security (DHS) to coordinate with other Federal departments and agencies and State, local, and tribal governments to establish a National Incident Management System (NIMS).

- **PPD-8** describes the Nation’s approach to preparedness—one that involves the whole community, including individuals, businesses, community- and faith-based organizations, schools, tribes, and all levels of government (Federal, State, Local, Tribal, and Territorial).

PPD-8 links together national preparedness efforts using the following key elements: National Preparedness System: How We Get There; National Planning System: What We Deliver; Annual National Preparedness: How Well We Are Doing; and Whole Community Initiative: Who We Engage.

The National Incident Management System (NIMS) uses the guidance from HSPD-5 and PPD-8 to provide the mechanisms for emergency management/response personnel and their affiliated organizations to work collectively by offering a consistent and common approach to preparedness.
MANDATES

Visual 2.6

Instructor Notes: Present the following key points.

NIMS provides a systematic, proactive approach guiding departments and agencies at all levels of government, the private sector, and nongovernmental organizations to work seamlessly to prepare for, prevent, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life and property, and harm to the environment.
MANDATES

Visual 2.7

Instructor Notes: Present the following key points.

ICS is only one facet of NIMS. NIMS integrates existing best practices into a consistent, nationwide approach to domestic incident management that is applicable at all jurisdictional levels and across functional disciplines in an all-hazards context.

Following is a synopsis of each major component of NIMS.

- **Preparedness.** Effective incident management and incident response activities begin with a host of preparedness activities conducted on an ongoing basis, in advance of any potential incident. Preparedness involves an integrated combination of assessment, planning, procedures and protocols, training and exercises, personnel qualification and certification, equipment certification, and evaluation and revision.

- **Communications and Information Management.** Emergency management and incident response activities rely on communications and information systems that provide a common operating picture to all command and coordination sites. NIMS describes the requirements necessary for a standardized framework for communications and emphasizes the need for a common operating picture. NIMS is based on the concepts of interoperability, reliability, scalability, portability, and the resiliency and redundancy of communication and information systems.

(Continued on the next page.)
MANDATES

Visual 2.7: NIMS Components and ICS (Continued)

- **Resource Management.** Resources (such as personnel, equipment, and/or supplies) are needed to support critical incident objectives. The flow of resources must be fluid and adaptable to the requirements of the incident. NIMS defines standardized mechanisms and establishes the resource management process to: identify requirements, order and acquire, mobilize, track and report, recover and demobilize, reimburse, and inventory resources.

- **Command and Management.** The Command and Management component within NIMS is designed to enable effective and efficient incident management and coordination by providing flexible, standardized incident management structures. The structure is based on three key organizational constructs: the Incident Command System, Multiagency Coordination Systems, and Public Information.

- **Ongoing Management and Maintenance.** DHS/FEMA manages the development and maintenance of NIMS. This includes developing NIMS programs and processes as well as keeping the NIMS document current.

Additional information: www.fema.gov/emergency/nims
Instructor Notes: Present the following key points.

- Chain of command means that there is an orderly line of authority and reporting relationships within the ranks of the organization, with lower levels subordinate to, and connected to, higher levels.

- Chain of command is used to communicate direction and maintain management control. Chain of command, however, does not apply to the exchange of information. Although orders must flow through the chain of command, members of the organization may directly communicate with each other to ask for or share information.

Emphasize that ICS team members work within the ICS position descriptions and follow the designated reporting relationships, regardless of their nonemergency positions or everyday administrative chain of command.
Instructor Notes: Present the following key points.

The concept of unity of command means that personnel:

- Report to only one supervisor.
- Maintain formal communication relationships only with that supervisor.

Caution participants not to confuse **unity of command** with **Unified Command**, then show the next visual and ask the question.
Instructor Notes: Present the following key points.

Ask participants: What’s the difference between unity of command and Unified Command?

Allow the group time to respond.

If not mentioned by the group, add the following:

- **Unity of command** is the concept by which each person within an organization reports to one and only one designated supervisor. The purpose of unity of command is to ensure unity of effort under one responsible commander for every objective.

- **Unified Command** is an application of ICS used when there is more than one agency with incident jurisdiction, or when incidents cross political jurisdictions. Agencies work together through the designated members of the Unified Command, often the senior person from agencies/disciplines participating in the Unified Command, to establish a common set of objectives and strategies and a single IAP.

Note that Unified Command will be covered in the next unit.
 COMMAND PRINCIPLES

Visual 2.11

**Activity: Incident Commander Qualities**

**Instructions:**
1. Working as a team, answer the questions below:
   - What are the major duties of an Incident Commander?
   - What are the qualities of an effective Incident Commander?
2. Record your answers on chart paper.
3. Choose a spokesperson and be ready to present your answers to the large group in 10 minutes.
   ➔ You may want to refer to the review materials in your Student Manuals!

**Instructor Notes: Present the following key points.**

Show the visual and explain the instructions for this activity:

1. Working in your teams, answer the questions below:
   - What are the major duties of an Incident Commander?
   - What are the qualities of an effective Incident Commander?

2. Record your answers on chart paper.

3. Choose a spokesperson and be ready to present your answers to the large group in 10 minutes.

Encourage the participants to refer to the review materials on incident command on the page following this activity.
Visual 2.11: Activity: Incident Commander Qualities (Continued)

Conduct a debrief of the activity as follows:

1. Ask for a volunteer to answer the first question.

2. Ask other teams if they had additional duties to add to the list.

3. If not mentioned by the group, add the following duties:
   - Establish command.
   - Assess the situation and/or obtain a briefing from the previous Incident Commander.
   - Establish an appropriate organization.
   - Establish immediate priorities.
   - Ensure that adequate safety measures are in place.
   - Coordinate with key people and officials.
   - Authorize release of information to the media.

4. Ask for a volunteer to answer the second question.

5. Ask other teams if they had additional qualities to add to the list.

6. If not mentioned by the group, add the following qualities:
   - Command presence
   - Understanding of ICS
   - Proven management record
   - Strong decisionmaker
   - Calm, but quick thinking
   - Good communication skills
   - Adaptability and flexibility
   - Realism about personal limitations
   - Political awareness
COMMAND PRINCIPLES

Visual 2.11: Activity: Incident Commander Qualities (Continued)

Overall Organizational Functions

ICS was designed by identifying the primary activities or functions necessary to effectively respond to incidents. Analyses of incident reports and review of military organizations were all used in ICS development. These analyses identified the primary needs of incidents.

As incidents became more complex, difficult, and expensive, the need for an organizational manager became more evident. Thus in ICS, and especially in larger incidents, the Incident Commander manages the organization and not the incident.

In addition to the Command function, other desired functions and activities were to:

- Delegate authority and provide a separate organizational level within the ICS structure with sole responsibility for the tactical direction and control of resources.
- Provide logistical support to the incident organization.
- Provide planning services for both current and future activities.
- Provide cost assessment, time recording, and procurement control necessary to support the incident and the managing of claims.
- Promptly and effectively interact with the media, and provide informational services for the incident, involved agencies, and the public.
- Provide a safe operating environment within all parts of the incident organization.
- Ensure that assisting and cooperating agencies’ needs are met, and to see that they are used in an effective manner.

Incident Commander

The Incident Commander is technically not a part of either the General or Command Staff. The Incident Commander is responsible for:

- Having clear authority and knowing agency policy.
- Ensuring incident safety.
- Establishing an Incident Command Post.
- Setting priorities, and determining incident objectives and strategies to be followed.
- Establishing the ICS organization needed to manage the incident.
- Approving the Incident Action Plan.
- Coordinating Command and General Staff activities.
- Approving resource requests and use of volunteers and auxiliary personnel.
- Ordering demobilization as needed.
- Ensuring after-action reports are completed.
- Authorizing information release to the media.
INCIDENT MANAGEMENT ROLES

Instructor Notes: Present the following key points.

- The Incident Commander is the primary person in charge at the incident. In addition to managing the incident scene, he or she is trained to keep the Agency Executives/Senior Officials informed and up to date on all important matters pertaining to the incident.

- The Agency Executives/Senior Officials set policy, establish the mission to be accomplished, shape the overall strategic direction, and give the trained responders the authority to accomplish the incident objectives. Providing policy direction does not mean that these officials direct incident objectives or tactics.

Present the following example or add one from your jurisdiction: The Washington area sniper case was one of the most infamous crimes in recent law enforcement history, instilling fear in thousands of people. According to the after-action report, communication was clearly the most compelling concern in the sniper case. Investigations of this kind succeed or fail based on executives’ ability to effectively manage and communicate information in a timely manner. Incident Commanders must balance the incident needs with the obligations of local executives to be responsive to their citizens. In the words of one police chief, “You cannot expect leaders to stop leading.” The final responsibility for the resolution of the incident remains with the chief elected official, chief executive officer, or agency administrator. It is imperative then that the chief elected official, chief executive officer, or agency administrator remains an active participant, supporter, supervisor, and evaluator of the Incident Commander.

Summarize the discussion by noting that the ICS hierarchy of command must be maintained. After the policy has been articulated and delegated to certain authorities, the Incident Commander must have the necessary authority and guidance to manage the incident.
Instructor Notes: Present the following key points.

This unit will cover each of the basic features of ICS, beginning with common terminology.

Using common terminology helps to define:

- Organizational functions.
- Incident facilities.
- Incident Command Post – The field location at which the primary tactical-level, on-scene incident command functions are performed.
- Staging Area – The location where resources can be placed while awaiting a tactical assignment.
- Base – The location where primary logistics functions are coordinated. There is only one Base per incident. The Incident Command Post may be collocated with the Base.
- Camp – A location where food, water, rest, and sanitary services are provided to incident personnel.
- Resource descriptions.
- Position titles.
COMMUNICATION PRINCIPLES

Instructor Notes: Present the following key points.

As the incident organization grows to meet the needs of the incident, care must be taken to ensure that information transfer is handled effectively.

Formal communication requires that orders, directives, resource requests, and status changes must follow the hierarchy of command unless otherwise directed.
Instructor Notes: Present the following key points.

Formal communication is used when:

- Receiving and giving work assignments.
- Requesting support or additional resources.
- Reporting progress of assigned tasks.
Instructor Notes: Present the following key points.

Informal communication:

- Is used to exchange incident or event information.
- Is not used for formal requests for additional resources or for tasking working assignments.

There is complete freedom within the organization to exchange information among and between personnel.
Instructor Notes: Present the following key points.

The following are examples of informal communication:

- The Food Unit Leader may directly contact the Resources Unit Leader to determine the number of persons requiring feeding.

- The Cost Unit Leader may directly discuss and share information on alternative strategies with the Planning Section Chief.
As incidents expand, the ICS organization can also expand as necessary for the type, size, scope, and complexity of the incident.

The ICS organization builds from the top down. When needed, Sections can be added to this organization, and each Section may have subordinate Units.

This modular concept is based on the following considerations:

- The organization matches the function or task to be performed;
- Staffing is made only for those functional elements required to perform the task;
- Span of control guidelines are maintained;
- The function of any non-activated organizational element is performed at the next highest level; and
- Organizational elements are deactivated if they are no longer required.

Refer to the review materials on incident complexity on the following page.
ORGANIZATIONAL STRUCTURE

Visual 2.18: Modular Organization (Continued)

ICS Review Materials: Incident Complexity

Incident Complexity

“Incident complexity” is the combination of involved factors that affect the probability of control of an incident. Many factors determine the complexity of an incident, including, but not limited to, area involved, threat to life and property, political sensitivity, organizational complexity, jurisdictional boundaries, values at risk, weather, strategy and tactics, and agency policy.

Incident complexity is considered when making incident management level, staffing, and safety decisions.

Various analysis tools have been developed to assist consideration of important factors involved in incident complexity. Listed below are the factors that may be considered in analyzing incident complexity:

- Community and responder safety
- Impacts to life, property, and the economy
- Potential hazardous materials
- Weather and other environmental influences
- Likelihood of cascading events
- Potential crime scene (including terrorism)
- Political sensitivity, external influences, and media relations
- Area involved, jurisdictional boundaries
- Availability of resources
- Potential to extend into multiple operational periods
Instructor Notes: Present the following key points.

Although there are no hard-and-fast rules, it is important to remember that:

- Only functions/positions that are necessary are filled.
- Each activated element must have a person in charge.
- An effective span of control must be maintained.

While the Incident Commander position is always filled and others are only filled as needed, there are situations, such as hazardous materials incidents, that require other positions, such as the Safety Officer, to be filled.

In addition, resources should match the incident complexity (type). For more information on resource typing, refer to the NIMS Resource Center at www.fema.gov/emergency/nims.
Instructor Notes: Present the following key points.

Ask the participants: Why is it important to delegate authority to the lowest practical level?

If not mentioned by the group, add the following:

- Delegation of authority helps maintain a manageable span of control for the supervisor.
- Delegating may also motivate personnel by giving them a sense of responsibility for and “ownership” of incident activities for which they have been given authority.

Explain that the ICS organization may be expanded easily from a very small operation for routine incidents into a larger organization capable of handling catastrophic events.

Emphasize that a basic ICS operating guideline is that the person at the top of the organization is responsible for a task until that responsibility is delegated to a subordinate position.
Instructor Notes: Present the following key points.

Span of control is an ICS concept that describes the ratio of individuals supervised to the number of supervisors. Span of control is accomplished by organizing resources into Teams, Divisions, Groups, Branches, or Sections.

In ICS, an appropriate span of control is a ratio between 3:1 and 7:1 (between 3 and 7 individuals supervised to one supervisor). The recommended span of control for the Operations Section Chief is 1:5, as for all managers and supervisory personnel, or as high as 1:10 for larger scale law enforcement operations.

Ask the participants for examples of when they would use a span-of-control ratio of 3:1.
Instructor Notes: Present the following key points.

Note: A larger version of the ICS organization chart and caption appears on the next page.

The next section of this unit reviews the ICS organization. The ICS organization:

- Is typically structured to facilitate activities in five major functional areas: command, operations, planning, logistics, and finance and administration.

- Is adaptable to any emergency or incident to which domestic incident management agencies would be expected to respond.

- Has a scalable organizational structure that is based on the size and complexity of the incident. However, this flexibility does NOT allow for the modification of the standard, common language used to refer to organizational components or positions.

Encourage the participants to take some time to review the next several pages, which contain review materials. Tell the participants that an activity follows that will assess how well they understand this information.
ORGANIZATIONAL STRUCTURE

ICS Review Materials: Organizational Elements

Organizational Structure

- **Command Staff**: The staff who report directly to the Incident Commander, including the Public Information Officer, Safety Officer, Liaison Officer, and other positions as required.

- **Section**: The organizational level having responsibility for a major functional area of incident management (e.g., Operations, Planning, Logistics, Finance/Administration, and Intelligence/Investigations (if established)). The Section is organizationally situated between the Branch and the Incident Command.

- **Branch**: The organizational level having functional or geographical responsibility for major aspects of incident operations. A Branch is organizationally situated between the Section Chief and the Division or Group in the Operations Section, and between the Section and Units in the Logistics Section. Branches are identified by the use of Roman numerals or by functional area.

- **Division**: The organizational level having responsibility for operations within a defined geographic area. The Division level is organizationally between the Strike Team and the Branch.

- **Group**: An organizational subdivision established to divide the incident management structure into functional areas of operation. Groups are located between Branches (when activated) and Resources in the Operations Section.

- **Unit**: The organizational element with functional responsibility for a specific incident planning, logistics, or finance/administration activity.

- **Task Force**: Any combination of resources assembled to support a specific mission or operational need. All resource elements within a Task Force must have common communications and a designated leader.
• **Strike Team**: A set number of resources of the same kind and type that have an established minimum number of personnel, common communications, and a leader.

• **Single Resource**: An individual, a piece of equipment and its personnel complement, or a crew/team of individuals with an identified work supervisor that can be used on an incident.

### Incident Management Team

An Incident Management Team (IMT) is comprised of the Incident Commander and the appropriate Command and General Staff personnel assigned to an incident. The level of training and experience of the IMT members, coupled with the identified formal response requirements and responsibilities of the IMT, are factors in determining “type,” or level, of IMT.

### Command Staff

The Command Staff is assigned to carry out staff functions needed to support the Incident Commander. These functions include interagency liaison, incident safety, and public information.

Command Staff positions are established to assign responsibility for key activities not specifically identified in the General Staff functional elements. These positions may include the Public Information Officer (PIO), Safety Officer (SO), and Liaison Officer (LNO), in addition to various others, as required and assigned by the Incident Commander.

The table on the following page summarizes the responsibilities of the Command Staff.

### General Staff

The General Staff represents and is responsible for the functional aspects of the Incident Command structure. The General Staff typically consists of the Operations, Planning, Logistics, and Finance/Administration Sections.

General guidelines related to General Staff positions include the following:

- Only one person will be designated to lead each General Staff position.
- General Staff positions may be filled by qualified persons from any agency or jurisdiction.
- Members of the General Staff report directly to the Incident Commander. If a General Staff position is not activated, the Incident Commander will have responsibility for that functional activity.
- Deputy positions may be established for each of the General Staff positions. Deputies are individuals fully qualified to fill the primary position. Deputies can be designated from other jurisdictions or agencies, as appropriate. This is a good way to bring about greater interagency coordination.
- General Staff members may exchange information with any person within the organization. Direction takes place through the chain of command. This is an important concept in ICS.
- General Staff positions should not be combined. For example, to establish a “Planning and Logistics Section,” it is better to initially create the two separate functions, and if necessary for a short time place one person in charge of both. That way, the transfer of responsibility can be made easier.

Following the first table is a table that summarizes the responsibilities of the General Staff.
<table>
<thead>
<tr>
<th>Command Staff</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Public Information Officer</strong></td>
<td>• Determine, according to direction from the IC, any limits on information release.&lt;br&gt;• Develop accurate, accessible, and timely information for use in press/media briefings.&lt;br&gt;• Obtain IC’s approval of news releases.&lt;br&gt;• Conduct periodic media briefings.&lt;br&gt;• Arrange for tours and other interviews or briefings that may be required.&lt;br&gt;• Monitor and forward media information that may be useful to incident planning.&lt;br&gt;• Maintain current information, summaries, and/or displays on the incident.&lt;br&gt;• Make information about the incident available to incident personnel.&lt;br&gt;• Participate in planning meetings.</td>
</tr>
<tr>
<td><strong>Safety Officer</strong></td>
<td>• Identify and mitigate hazardous situations.&lt;br&gt;• Ensure safety messages and briefings are made.&lt;br&gt;• Exercise emergency authority to stop and prevent unsafe acts.&lt;br&gt;• Review the Incident Action Plan for safety implications.&lt;br&gt;• Assign assistants qualified to evaluate special hazards.&lt;br&gt;• Initiate preliminary investigation of accidents within the incident area.&lt;br&gt;• Review and approve the Medical Plan.&lt;br&gt;• Participate in planning meetings.</td>
</tr>
<tr>
<td><strong>Liaison Officer</strong></td>
<td>• Act as a point of contact for agency representatives.&lt;br&gt;• Maintain a list of assisting and cooperating agencies and agency representatives.&lt;br&gt;• Assist in setting up and coordinating interagency contacts.&lt;br&gt;• Monitor incident operations to identify current or potential interorganizational problems.&lt;br&gt;• Participate in planning meetings, providing current resource status, including limitations and capabilities of agency resources.&lt;br&gt;• Provide agency-specific demobilization information and requirements.</td>
</tr>
<tr>
<td><strong>Assistants</strong></td>
<td>In the context of large or complex incidents, Command Staff members may need one or more assistants to help manage their workloads. Each Command Staff member is responsible for organizing his or her assistants for maximum efficiency.</td>
</tr>
<tr>
<td><strong>Additional Command Staff</strong></td>
<td>Additional Command Staff positions may also be necessary depending on the nature and location(s) of the incident, and/or specific requirements established by the Incident Commander. For example, a Legal Counsel may be assigned directly to the Command Staff to advise the Incident Commander on legal matters, such as emergency proclamations, legality of evacuation orders, and legal rights and restrictions pertaining to media access. Similarly, a Medical Advisor may be designated and assigned directly to the Command Staff to provide advice and recommendations to the Incident Commander in the context of incidents involving medical and mental health services, mass casualty, acute care, vector control, epidemiology, and/or mass prophylaxis considerations, particularly in the response to a bioterrorism event.</td>
</tr>
</tbody>
</table>
## General Staff Responsibilities

<table>
<thead>
<tr>
<th>General Staff</th>
<th>Responsibilities</th>
</tr>
</thead>
</table>
| Operations Section Chief | The Operations Section Chief is responsible for managing all tactical operations at an incident. The Incident Action Plan (IAP) provides the necessary guidance. The need to expand the Operations Section is generally dictated by the number of tactical resources involved and is influenced by span of control considerations. Major responsibilities of the Operations Section Chief are to:  
- Assure safety of tactical operations.  
- Manage tactical operations.  
- Develop the operations portion of the IAP.  
- Supervise execution of operations portions of the IAP.  
- Request additional resources to support tactical operations.  
- Approve release of resources from active operational assignments.  
- Make or approve expedient changes to the IAP.  
- Maintain close contact with IC, subordinate Operations personnel, and other agencies involved in the incident. |
| Planning Section Chief | The Planning Section Chief is responsible for providing planning services for the incident. Under the direction of the Planning Section Chief, the Planning Section collects situation and resources status information, evaluates it, and processes the information for use in developing action plans. Dissemination of information can be in the form of the IAP, in formal briefings, or through map and status board displays. Major responsibilities of the Planning Section Chief are to:  
- Collect and manage all incident-relevant operational data.  
- Supervise preparation of the IAP.  
- Provide input to the IC and Operations in preparing the IAP.  
- Incorporate Traffic, Medical, and Communications Plans and other supporting materials into the IAP.  
- Conduct and facilitate planning meetings.  
- Reassign personnel within the ICS organization.  
- Compile and display incident status information.  
- Establish information requirements and reporting schedules for units (e.g., Resources and Situation Units).  
- Determine need for specialized resources.  
- Assemble and disassemble Task Forces and Strike Teams not assigned to Operations.  
- Establish specialized data collection systems as necessary (e.g., weather).  
- Assemble information on alternative strategies.  
- Provide periodic predictions on incident potential.  
- Report significant changes in incident status.  
- Oversee preparation of the Demobilization Plan. |
### General Staff

<table>
<thead>
<tr>
<th>Logistics Section Chief</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Logistics Section Chief provides all incident support needs with the exception of logistics support to air operations. The Logistics Section is responsible for providing:</td>
<td></td>
</tr>
<tr>
<td>• Facilities.</td>
<td></td>
</tr>
<tr>
<td>• Transportation.</td>
<td></td>
</tr>
<tr>
<td>• Communications.</td>
<td></td>
</tr>
<tr>
<td>• Supplies.</td>
<td></td>
</tr>
<tr>
<td>• Equipment maintenance and fueling.</td>
<td></td>
</tr>
<tr>
<td>• Food services (for responders).</td>
<td></td>
</tr>
<tr>
<td>• Medical services (for responders).</td>
<td></td>
</tr>
<tr>
<td>• All off-incident resources.</td>
<td></td>
</tr>
</tbody>
</table>

Major responsibilities of the Logistics Section Chief are to:

- Provide all facilities, transportation, communications, supplies, equipment maintenance and fueling, food and medical services for incident personnel, and all off-incident resources.
- Manage all incident logistics.
- Provide logistical input to the IAP.
- Brief Logistics Staff as needed.
- Identify anticipated and known incident service and support requirements.
- Request additional resources as needed.
- Ensure and oversee the development of the Communications, Medical, and Traffic Plans as required.
- Oversee demobilization of the Logistics Section and associated resources.

<table>
<thead>
<tr>
<th>Finance/ Administration Section Chief</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Finance/Administration Section Chief is responsible for managing all financial aspects of an incident. Not all incidents will require a Finance/Administration Section. Only when the involved agencies have a specific need for finance services will the Section be activated.</td>
<td></td>
</tr>
</tbody>
</table>

Major responsibilities of the Finance/Administration Section Chief are to:

- Manage all financial aspects of an incident.
- Provide financial and cost analysis information as requested.
- Ensure compensation and claims functions are being addressed relative to the incident.
- Gather pertinent information from briefings with responsible agencies.
- Develop an operating plan for the Finance/Administration Section and fill Section supply and support needs.
- Determine the need to set up and operate an incident commissary.
- Meet with assisting and cooperating agency representatives as needed.
- Maintain daily contact with agency(s) headquarters on finance matters.
- Ensure that personnel time records are completed accurately and transmitted to home agencies.
- Ensure that all obligation documents initiated at the incident are properly prepared and completed.
- Brief agency administrative personnel on all incident-related financial issues needing attention or followup.
- Provide input to the IAP.

Source: NIMS
Instructor Notes: Present the following key points.

- As the incident grows in complexity, additional "layers" of supervision and coordination may be required to support effective and safe air operations. It is important to recognize that in Air Operations, like any other part of the ICS organization, it is only necessary to activate those parts of the organization that are required.

- When activated, the Air Operations Branch is responsible for managing all air operations at an incident. This includes both tactical and logistical operations. Prior to activation of the Air Operations Branch, management of aviation operations (including the use of aircraft for logistical support) is the responsibility of the Operations Section Chief, or Incident Commander if the Operations Section Chief position has not been activated.

- It is not necessary to activate Air Operations positions if the function can be adequately managed at the Operations Section Chief level.

- An Air Operations Branch can be established if:
  - Tactical and logistical air support activity is needed at the incident.
  - Helicopters and fixed-wing aircraft are involved within the incident airspace.
  - Safety, environmental, weather, or temporary flight restriction issues arise.
  - A helibase or several helispots are required.
  - Agency policy and/or flight operations SOPs require it.
  - The Incident Commander and/or Operations Section Chief are unfamiliar with aviation resources, their uses, and safety protocols.

Refer to the next page for additional information on Air Operations.
## ORGANIZATIONAL STRUCTURE

Visual 2.23: Air Operations Branch (Continued)

<table>
<thead>
<tr>
<th>Aviation Operations</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Fire Control</strong></td>
<td>Fixed-wing aircraft and helicopters for water and retardant drops, use of helicopters for transporting personnel to and from tactical assignments, for reconnaissance, and for logistical support.</td>
</tr>
<tr>
<td><strong>Forest and Other Land Management Programs</strong></td>
<td>Pest control programs.</td>
</tr>
<tr>
<td><strong>Maritime Incidents</strong></td>
<td>Hazardous materials spills, accidents, and searches.</td>
</tr>
<tr>
<td><strong>Other Applications</strong></td>
<td>Communications relay airborne command and control, photo mapping, etc.</td>
</tr>
<tr>
<td><strong>Search and Rescue</strong></td>
<td>Fixed-wing and helicopters for flying ground and water search patterns, medical evacuations, and logistical support.</td>
</tr>
<tr>
<td><strong>Medical Evacuation</strong></td>
<td>Transportation of injured victims and personnel.</td>
</tr>
<tr>
<td><strong>Earthquakes, Floods, etc.</strong></td>
<td>Reconnaissance, situation and damage assessment, rescue, logistical support, etc.</td>
</tr>
<tr>
<td><strong>Law Enforcement</strong></td>
<td>Reconnaissance, surveillance, direction, control, and transportation security.</td>
</tr>
</tbody>
</table>
Instructor Notes: Present the following key points.

- The collection, analysis, and sharing of incident-related intelligence are important elements of ICS.
  - Typically, operational information and situational intelligence are management functions located in the Planning Section, with a focus on three incident intelligence areas: situation status, resource status, and anticipated incident status or escalation (e.g., weather forecasts, location of supplies, etc.).
  - This information and intelligence is utilized for incident management decisionmaking. In addition, Technical Specialists may be utilized in the Planning Section to provide specific information that may support tactical decisions on an incident.

- Incident management organizations must also establish a system for the collection, analysis, and sharing, as possible, of information developed during intelligence/investigations efforts.
  - Some incidents require the utilization of intelligence and investigative information to support the process. Intelligence and investigative information is defined as information that either leads to the detection, prevention, apprehension, and prosecution of criminal activities (or the individuals(s) involved), including terrorist incidents, or information that leads to determination of the cause of a given incident (regardless of the source) such as public health events or fires with unknown origins.
• ICS allows for organizational flexibility, so the Intelligence/Investigations Function can be embedded in several different places within the organizational structure:

  • **Within the Planning Section.** This is the traditional placement for this function and is appropriate for incidents with little or no investigative information requirements, nor a significant amount of specialized information.

  • **As a Separate General Staff Section.** This option may be appropriate when there is an intelligence/investigative component to the incident or when multiple investigative agencies are part of the investigative process and/or there is a need for classified intelligence.

  • **Within the Operations Section.** This option may be appropriate for incidents that require a high degree of linkage and coordination between the investigative information and the operational tactics that are being employed.

  • **Within the Command Staff.** This option may be appropriate for incidents with little need for tactical information or classified intelligence and where supporting Agency Representatives are providing the real-time information to the Command Element.

• The mission of the Intelligence/Investigations Function is to ensure that all investigative and intelligence operations, functions, and activities within the incident response are properly managed, coordinated, and directed in order to:

  • Prevent/deter additional activity, incidents, and/or attacks.

  • Collect, process, analyze, and appropriately disseminate intelligence information.

  • Conduct a thorough and comprehensive investigation.

  • Identify, process, collect, create a chain of custody for, safeguard, examine/analyze, and store all situational intelligence and/or probative evidence.

• The Intelligence/Investigations Function has responsibilities that cross all departments’ interests involved during an incident, but there are functions that remain specific to law enforcement response and/or mission areas. Two examples of these are expeditious identification and apprehension of all perpetrators, and successful prosecution of all defendants.

Regardless of how the Intelligence/Investigations Function is organized, a close liaison will be maintained and information will be transmitted to Command, Operations, and Planning. However, classified information requiring a security clearance, sensitive information, or specific investigative tactics that would compromise the investigation will be shared only with those who have the appropriate security clearance and/or need to know.
ORGANIZATIONAL STRUCTURE

Instructor Notes: Present the following key points.

Review the following question:

I serve as the point of contact for representatives of other governmental agencies, nongovernmental organizations, and/or private entities. Who am I?

Correct answer: Liaison Officer

The Liaison Officer is the point of contact for representatives of other governmental agencies, nongovernmental organizations, and/or private entities. Representatives from assisting or cooperating agencies and organizations coordinate through the Liaison Officer. Assistants and personnel from other agencies or organizations (public or private) involved in incident management activities may be assigned to the Liaison Officer to facilitate coordination.

Instructor Note: As you conduct this activity, encourage different participants to answer the questions.
Instructor Notes: Present the following key points.

Review the following question:

My Section is responsible for all support requirements needed to facilitate effective and efficient incident management, including ordering resources from off-incident locations. Who am I?

Correct answer: Logistics Section Chief

The Logistics Section Chief provides all incident support needs with the exception of logistics support to air operations. The Logistics Section is responsible for providing:

- Facilities
- Transportation
- Communications
- Supplies
- Equipment maintenance and fueling
- Food services (for responders)
- Medical services (for responders)
- All off-incident resources
Instructor Notes: Present the following key points.

Review the following question:

I monitor incident operations and advise the Incident Commander on all matters relating to the health and safety of emergency responder personnel. Who am I?

Correct answer: Safety Officer

The Safety Officer monitors incident operations and advises the Incident Commander on all matters relating to operational safety, including the health and safety of emergency responder personnel. The ultimate responsibility for the safe conduct of incident management operations rests with the Incident Commander or Unified Command and supervisors at all levels of incident management. The Safety Officer is, in turn, responsible to the Incident Commander for the set of systems and procedures necessary to ensure ongoing assessment of hazardous environments, coordination of multiagency safety efforts, and implementation of measures to promote emergency responder safety, as well as the general safety of incident operations. The Safety Officer has emergency authority to stop and/or prevent unsafe acts during incident operations.
Instructor Notes: Present the following key points.

Review the following question:

As Chief of my Section, I manage all tactical operations at an incident. Who am I?

Correct answer: Operations Section Chief

The Operations Section Chief is responsible for managing all tactical operations at an incident. The Incident Action Plan provides the necessary guidance. The need to expand the Operations Section is generally dictated by the number of tactical resources involved and is influenced by span-of-control considerations.
Instructor Notes: Present the following key points.

Review the following question:

Although I may be at the scene, I coordinate closely with the Joint Information Center. Who am I?

Correct answer: Public Information Officer

The Public Information Officer (PIO) is responsible for interfacing with the public and media and/or with other agencies with incident-related information requirements. The PIO develops accurate and complete information on the incident's cause, size, and current situation; resources committed; and other matters of general interest for both internal and external consumption. The PIO may also perform a key public information-monitoring role. Only one incident PIO should be designated. Assistants may be assigned from other agencies or departments involved. The Incident Commander must approve the release of all incident-related information. The PIO coordinates through the Joint Information Center/Joint Information System.
Instructor Notes: Present the following key points.

Review the following question:

My Section collects situation and resources status information, evaluates it, and processes the information for use in developing action plans. Who am I?

Correct answer: Planning Section Chief

The Planning Section Chief is responsible for providing planning services for the incident. Under the direction of the Planning Section Chief, the Planning Section collects situation and resources status information, evaluates it, and processes the information for use in developing action plans. Dissemination of information can be in the form of the Incident Action Plan, formal briefings, or through map and status board displays.
**Instructor Notes: Present the following key points.**

The following chart lists each organizational level or element with the corresponding supervisor title and support position title.

<table>
<thead>
<tr>
<th>Organizational Level</th>
<th>Title</th>
<th>Support Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>Incident Command</td>
<td>Incident Commander</td>
<td>Deputy</td>
</tr>
<tr>
<td>Command Staff</td>
<td>Officer</td>
<td>Assistant</td>
</tr>
<tr>
<td>General Staff (Sections)</td>
<td>Chief</td>
<td>Deputy</td>
</tr>
<tr>
<td>Branch</td>
<td>Director</td>
<td>Deputy</td>
</tr>
<tr>
<td>Division/Group</td>
<td>Supervisor</td>
<td>N/A</td>
</tr>
<tr>
<td>Unit</td>
<td>Leader</td>
<td>Manager</td>
</tr>
<tr>
<td>Strike Team/Task Force</td>
<td>Leader</td>
<td>Single Resource Boss</td>
</tr>
</tbody>
</table>
Instructor Notes: Present the following key points.

Review the situation on the visual.

Two Supervisors have been dispatched with resources (personnel and equipment) to evacuate homes within the potential hazard zone. One Supervisor has responsibility for the east side of the community and the other has responsibility for the west side.

Ask the participants to answer the following question: What type of ICS organizational structure is being described?

The correct answer is Division. Divisions are used to divide an incident geographically. The person in charge of each Division is designated as a Supervisor.

These resources (personnel and equipment) would be organized into Divisions because they are assigned different geographic areas to evacuate.
ORGANIZATIONAL STRUCTURE

Instructor Notes: Present the following key points.

Review the situation on the visual.

HazMat specialists, sanitation workers, and disposal equipment are grouped together, under the direct supervision of a Leader, to handle the removal of hazardous waste.

Ask the class the following question: What type of ICS organizational structure is being described?

The correct answer is Task Force. Task Forces are a combination of mixed resources with common communications operating under the direct supervision of a Leader.

HazMat specialists, sanitation workers, and disposal equipment would be grouped together in a Task Force. A Leader is assigned to supervise a Task Force.
Instructor Notes: Present the following key points.

Review the situation on the visual.

As incident objectives and resources expand, the Operations Section Chief begins organizing resources into functional areas that are managed by a Supervisor.

Ask the class the following question: **On the organizational chart, the title of each component would be a ______________.**

The correct answer is **Group**. Groups are established to divide the incident into functional areas of operation. Groups are located between Branches (when activated) and Resources in the Operations Section.
Instructor Notes: Present the following key points.

Review the situation on the visual. As the operation expands even further, the Operations Section Chief appoints a **Director** to manage the Groups.

Ask the class the following question: **On the organizational chart, the title of the organizational component managed by a Director would be called the Emergency Services ______________.**

Allow time to respond. If not mentioned, tell the participants that **the correct answer is Branch**. Branches are used when the number of Divisions or Groups exceeds the span of control, and can be either geographical or functional.
Organizational Structure

Instructor Notes: Present the following key points.

Ask the participants: What ICS term is used to describe the Emergency Medical Technician?

Ask for a volunteer to answer the question. The correct answer is Single Resource.
ORGANIZATIONAL STRUCTURE

Instructor Notes: Present the following key points.

Refer to the chart with the position titles.

Ask the participants: What is the supervisor’s title for each organizational element shown?

Ask for a volunteer to answer the question.

The correct answers are:

Investigation Branch **Director**
Perimeter Security Strike Team **Leader**
Accident Reconstruction Group **Supervisor**
Instructor Notes: Present the following key points.

Instruct the participants to read the materials in their Student Manuals and then answer the questions on the following pages.
ORGANIZATIONAL STRUCTURE

Deputies

The Incident Commander may have one or more Deputies. An individual assuming a Deputy role must be equally capable of assuming the primary role. Therefore, a Deputy Incident Commander must be able to assume the Incident Commander’s role.

Following are three reasons to designate Deputies:

- To perform specific tasks as requested by the Incident Commander.
- To perform the Incident Command function in a relief capacity (e.g., to take over the next operational period).
- To represent an assisting agency that may share jurisdiction or have jurisdiction in the future.

The Operations Section Chief, Planning Section Chief, Logistics Section Chief, Finance/Administration Section Chief, and Branch Directors may also have one or more Deputies.

Assistants

The Public Information Officer, Safety Officer, and Liaison Officer may have Assistants, as necessary. The Assistants may represent assisting agencies or jurisdictions, or simply assist in managing the workload associated with the position.

- Assistant Public Information Officers may be assigned to the field or Joint Information Center or assigned to handle internal information.
- Assistant Safety Officers may have specific responsibilities, such as aviation, hazardous materials, etc.
- Assistant Liaison Officers may coordinate with specific agency representatives or groups of representatives.

The Assistant title indicates a level of technical capability, qualification, and responsibility subordinate to the primary positions.
ORGANIZATIONAL STRUCTURE

Technical Specialists

Certain incidents or events may require the use of Technical Specialists who have specialized knowledge and expertise. Technical Specialists may function within the Planning Section, or be assigned wherever their services are required.

While each incident dictates the need for Technical Specialists, some examples of the more commonly used specialists are:
- Meteorologists.
- Environmental Impact Specialists.
- Flood Control Specialists.
- Water Use Specialists.
- Fuels and Flammable Materials Specialists.
- Hazardous Substance Specialists.
- Fire Behavior Specialists.
- Structural Engineers.
- Training Specialists.

Agency Representatives

An Agency Representative is an individual assigned to an incident from an assisting or cooperating agency. The Agency Representative must be given authority to make decisions on matters affecting that agency's participation at the incident.

Agency Representatives report to the Liaison Officer, or to the Incident Commander in the absence of a Liaison Officer.

Major responsibilities of the Agency Representative are to:
- Ensure that all of their agency resources have completed check-in at the incident.
- Obtain briefing from the Liaison Officer or Incident Commander.
- Inform their agency personnel on the incident that the Agency Representative position has been filled.
- Attend planning meetings as required.
- Provide input to the planning process on the use of agency resources, unless resource Technical Specialists are assigned from the agency.
- Cooperate fully with the Incident Commander and the Command and General Staffs on the agency's involvement at the incident.
- Oversee the well-being and safety of agency personnel assigned to the incident.
- Advise the Liaison Officer of any special agency needs, requirements, or agency restrictions.
- Report to agency dispatch or headquarters on a prearranged schedule.
- Ensure that all agency personnel and equipment are properly accounted for and released prior to departure.
- Ensure that all required agency forms, reports, and documents are complete prior to departure.
- Have a debriefing session with the Liaison Officer or Incident Commander prior to departure.
## ORGANIZATIONAL STRUCTURE

### Visual 2.38: Deputies, Assistants, Tech Specialists, and Agency Reps (Continued)

<table>
<thead>
<tr>
<th>Deputies</th>
<th>Where can Deputies be assigned?</th>
<th>The Incident Commander, General Staff, and Branch Directors may have one or more Deputies.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>What are the requirements for Deputies?</td>
<td>An individual assuming a Deputy role must be equally capable of assuming the primary role. Therefore, the Deputy Incident Commander must be able to assume the Incident Commander's role.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Assistants</th>
<th>Where can Assistants be assigned?</th>
<th>The Public Information Officer, Safety Officer, and Liaison Officer may have Assistants, as necessary.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>What is an example of a duty assumed by an Assistant?</td>
<td></td>
</tr>
</tbody>
</table>
  - Assistant Public Information Officers may be assigned to handle internal information.  
  - Assistant Safety Officers may have specific responsibilities, such as aviation, hazardous materials, etc.  
  - Assistant Liaison Officers may coordinate with specific agency representatives. |

<table>
<thead>
<tr>
<th>Technical Specialists</th>
<th>Where can Technical Specialists be assigned?</th>
<th>Technical Specialists may function within the Planning Section, or be assigned wherever their services are required.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>What types of Technical Specialists have you worked with on past incidents?</td>
<td>[There is no one correct answer.]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Agency Representatives</th>
<th>Where can Agency Representatives be assigned?</th>
<th>Agency Representatives report to the Liaison Officer, or to the Incident Commander in the absence of a Liaison Officer.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>What does an Agency Representative do?</td>
<td>An Agency Representative is an individual assigned to an incident from an assisting or cooperating agency. Agency Representatives must be given authority to make decisions on matters affecting that agency's participation at the incident.</td>
</tr>
</tbody>
</table>
RESOURCE NEEDS

Instructor Notes: Present the following key points.

As complexity increases, resources must increase, requiring an organization with additional levels of supervision. In addition, resources should match the incident complexity (type). Explain that the visual shows how the Incident Command System can expand according to the needs of the incident (modular organization).

Type is an ICS resource classification that refers to capability. Type 1 is generally considered to be more capable than type 2, 3, or 4 because of size, power, and capacity – or in the case of an Incident Management Team, experience and qualifications.

For more information on resource typing, refer to the NIMS Resource Center at www.fema.gov/emergency/nims.
Instructor Notes: Present the following key points.

This unit includes an applied activity. To prepare for this activity, refer to the activity file on your resource CD.

Instructor Note:

- Print and review the instructor notes provided in the activity file. The activity manual provides different scenario options. Once you’ve selected a scenario, you’ll need to continue with the same scenario for the duration of the course.

- Make copies of the student handout materials prior to conducting the training. Make one copy for each participant.

- Encourage the participants to focus on the learning activities, rather than the specific details of the scenario.
Instructor Notes: Present the following key points.

Ask participants if they are able to:

- Describe how ICS fits into the Command and Management component of NIMS.
- Describe ICS reporting and working relationships for Technical Specialists and Agency Representatives.
- Describe reporting relationships and information flow within the organization.
- Match responsibility statements to each ICS organizational element.
- List the ICS positions that may include Deputies and describe Deputy roles and responsibilities.
Instructor Notes: Present the following key points.

Ask participants if they are able to:

- Describe differences between Deputies and Assistants.
- Describe how incidents can best be managed by appropriate and early designation of primary staff members and by delegating authority to the lowest practical level.
- List the minimum staffing requirements within each organizational element for at least two incidents of different sizes.
- Describe the importance of establishing proper span of control for aviation resources and facilities.

Ask the participants if there are any questions about the materials presented in this unit. Answer any questions. Next, transition to the next unit by explaining that Unit 3 will cover Unified Command.
UNIT 3: UNIFIED COMMAND
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Unit Objectives

At the end of this unit, the participants should be able to:

- Define and identify the primary features of Unified Command.
- Describe how Unified Command functions on a multijurisdiction or multiagency incident.
- List the advantages of Unified Command.
- Given a simulated situation, demonstrate roles and reporting relationships under a Unified Command that involves agencies within the same jurisdiction and under multijurisdiction conditions.

Scope

- Unit Introduction and Objectives
- Background on Unified Command
- Applying Unified Command
- Unified Command Elements
- Unified Command Features
- Incident Commander Responsibilities
- Spokesperson Designation
- Unified Command and Preparedness
- Advantages of Unified Command
- School Bus Accident Applied Activity
- Summary

Methodology

The instructor will introduce this unit by listing the unit objectives. The instructor will then provide background on the development of Unified Command, including solutions considered for multijurisdiction or multiagency incidents.

Next, the instructor will define Unified Command and explain how it is used in managing incidents. The instructor will then describe the five primary features of a Unified Command organization.

The next topic will cover guidelines for using Unified Command, followed by a discussion on functioning in Unified Command. The instructor will then discuss eight advantages of using Unified Command.

The applied activity involves a school bus accident that occurs on a highway that forms the boundary between two jurisdictions. The scenario is designed to test the participants' understanding of Unified Command and requires the participants to apply their knowledge of the learning objectives identified in this unit.

After debriefing the activity, the instructor will transition to Unit 4: Incident/Event Assessment and Agency Guidance in Establishing Incident Objectives.
Unit 3: Unified Command

Materials

- PowerPoint visuals 3.1 – 3.32
- Instructor Guide
- PowerPoint slides and a computer display system
- Student Manual

Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit Introduction and Objectives</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Background on Unified Command</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Applying Unified Command</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Unified Command Elements</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Unified Command Features</td>
<td>30 minutes</td>
</tr>
<tr>
<td>Incident Commander Responsibilities and Spokesperson Designation</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Unified Command and Preparedness</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Advantages of Unified Command</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Applied Activity</td>
<td>60 minutes</td>
</tr>
<tr>
<td>Summary</td>
<td>5 minutes</td>
</tr>
</tbody>
</table>

Total Time: 2 hours 15 minutes
Instructor Notes: Present the following key points.

Explain that Unified Command involves applying ICS in incidents involving multiple jurisdictions or multiple agencies.

IMPORTANT INSTRUCTOR NOTE: The concept of Unified Command may create much discussion among the participants. As instructor, it is important to share a positive experience in a Unified Command and to model support for the intent of NIMS. NIMS allows communities to be better prepared and ultimately support one another during a response. When implemented properly, Unified Command enables agencies and organizations with different legal, geographic, and functional responsibilities to coordinate, plan, and interact effectively.

Often the most difficult part of the concept to explain is that the Incident Commanders within the Unified Command make joint decisions and speak as one voice. If there is a disagreement, it is worked out among the Incident Commanders within the Unified Command. Unity of command still is maintained within the Sections. Each responder reports to a single supervisor. In other words, within a Unified Command the police officer won’t tell the firefighters how to do their job nor would the EMS tell the police how to manage a hostage situation.

Joint training and exercises help to ensure that the Unified Command structure will perform effectively during an incident.
UNIT OBJECTIVES

Instructor Notes: Present the following key points.

Review the unit objectives with the class. Tell the participants that by the end of this unit, they should be able to:

- Define and identify the primary features of Unified Command.
- Describe how Unified Command functions on a multijurisdiction or multiagency incident.
- List the advantages of Unified Command.
- Given a simulated situation, demonstrate roles and reporting relationships under a Unified Command that involves agencies within the same jurisdiction and under multijurisdiction conditions.
Instructor Notes: Present the following key points.

Early in the development of ICS, it was recognized that many incidents crossed jurisdictional boundaries or the limits of individual agency functional responsibility.
Two solutions were considered for this problem:

1. Divide the incident either geographically or functionally so that each jurisdiction or agency could establish its own ICS organization in a well-defined geographical or functional area of responsibility. This was the simplest political solution, but there were cost and effectiveness reasons why this solution was unacceptable.

2. Create a single ICS incident structure with a built-in process for an effective and responsible multijurisdictional or multiagency approach. This solution became Unified Command.
Instructor Notes: Present the following key points.

Unified Command:

- Is an important element in multijurisdictional or multiagency incident management.
- Provides guidelines to enable agencies with different legal, geographic, and functional responsibilities to coordinate, plan, and interact effectively.

As a team effort, Unified Command allows all agencies with jurisdictional authority or functional responsibility for the incident to jointly provide management direction to an incident through a common set of incident objectives and strategies and a single Incident Action Plan (IAP).

Each participating agency maintains its individual authority, responsibility, and accountability.

Source: NIMS
Instructor Notes: Present the following key points.

The Unified Command organization consists of the Incident Commanders from the various jurisdictions or agencies operating together to form a single command structure. Unified Command:

- Enables all agencies with responsibility to manage an incident together by establishing a common set of incident objectives and strategies.
- Allows Incident Commanders to make joint decisions by establishing a single command structure.
- Maintains unity of command. Each employee reports to only one supervisor.

The term “agency” is used to describe organizations that have a legal and functional responsibility at an incident. Agencies may be from the same jurisdiction or from other jurisdictions, or represent functional governmental authorities that do not necessarily have a geographical influence. Agencies can also represent industrial and commercial organizations from the private sector. Examples of agencies include the coroner’s office, the FAA, the XYZ Chemical Corporation, etc.

The term “jurisdictional” describes an authority or responsibility, and can also mean a geographic area (e.g., a city, county, State, Federal lands, etc.).

(Continued on the next page.)
APPLYING UNIFIED COMMAND

The primary differences between the single command structure and the Unified Command structure are that:

- In a single command structure, the Incident Commander is solely responsible (within the confines of his or her authority) for establishing incident management objectives and strategies. The Incident Commander is directly responsible for ensuring that all functional area activities are directed toward accomplishment of the strategy.
- In a Unified Command structure, the individuals designated by their jurisdictional authorities (or by departments within a single jurisdiction) must jointly determine objectives, strategies, plans, and priorities and work together to execute integrated incident operations and maximize the use of assigned resources.

The table below compares a single Incident Command and Unified Command.

<table>
<thead>
<tr>
<th>Comparison of a Single Incident Commander and Unified Command</th>
</tr>
</thead>
<tbody>
<tr>
<td>Single Incident Commander</td>
</tr>
<tr>
<td>The Incident Commander is solely responsible (within the confinement of his or her authority) for establishing incident objectives and strategies.</td>
</tr>
<tr>
<td>The Incident Commander is directly responsible for ensuring that all functional area activities are directed toward accomplishment of the strategy.</td>
</tr>
</tbody>
</table>

Source: NIMS
Instructor Notes: Present the following key points.

- Unified Command may be used when incidents impact more than one political jurisdiction.

- An example is a wildland fire starting in one jurisdiction and burning into another jurisdiction. Responding agencies from each jurisdiction have the same mission (fire suppression), and it is the political and/or geographical boundaries that mandate multiagency cooperation and involvement.

Ask the participants to provide an example from their jurisdictions or States.
Instructor Notes: Present the following key points.

This visual presents an example of a Unified Command organization chart for a multijurisdictional incident. The chart includes the following elements:

- **Unified Command:** The Unified Command is composed of the Incident Commanders from the three jurisdictions. The Unified Command establishes a single set of unified objectives.

- **Integrated Command and General Staff:** The organization has an integrated Command Staff and Operations, Planning, Logistics, and Finance/Administration Sections.
Instructor Notes: Present the following key points.

- Unified Command may also be used when incidents involve multiple agencies or departments within the same political jurisdiction.

- An example is a hazardous materials incident in which the fire department has responsibility for fire suppression and rescue, the police department has responsibility for evacuation and area security, and the public health agencies and others have responsibility for site cleanup.
Instructor Notes: Present the following key points.

This visual presents an example of a Unified Command organization chart for a Multiagency/Single Jurisdiction incident. The chart includes the following elements:

- **Unified Command:** The Unified Command is composed of the Incident Commanders from the three departments of the single jurisdiction (fire department, police department, and public health agency). The Unified Command establishes a single set of unified objectives.

- **Integrated Command and General Staff:** The organization has an integrated Command Staff and Operations, Planning, Logistics, and Finance/Administration Sections.
Instructor Notes: Present the following key points.

- A third instance in which Unified Command may be used involves incidents that impact on or involve several political and functional agencies.

- Examples are severe weather, earthquakes, wildland fires, some special events, and terrorist threats that involve large numbers of local, State, and Federal agencies.

- These incidents cross political boundaries and involve multiple functional authorities.
Instructor Notes: Present the following key points.

This visual presents an example of a Unified Command organization chart for a multiagency/multijurisdiction incident. The chart includes the following elements:

- **Unified Command**: Incident Commanders from local, State, and Federal agencies comprise the Unified Command and share responsibility for incident management.

- **Integrated Command and General Staff**: The organization has an integrated Command Staff (including Safety, Public Information, and Liaison functions) and Operations, Planning, Logistics, and Finance/Administration Sections.

Note that this type of Unified Command would be established for complex incidents where the State* and Federal government agencies have jurisdiction.

* Throughout this course, discussion of authorities and roles of States is also intended to incorporate those of U.S. territories and possessions and tribal nations.
Instructor Notes: Present the following key points.

There are four elements to consider when applying Unified Command:

- Policies, Objectives, and Strategies
- Organization
- Resources
- Operations

Further explanations of these elements are:

- Policies, objectives, and strategies are established jointly by each jurisdiction/agency authority in advance of tactical operations.

- Organization consists of the various jurisdictional or agency on-scene senior representatives (agency Incident Commanders) operating within a Unified Command structure.

- Resources are supplied by the jurisdictions and agencies that have functional or jurisdictional, legal, and financial responsibility.

(Continued on the next visual.)
Instructor Notes: Present the following key points.

In a Unified Command only one person, the Operations Section Chief, controls tactical resources and directs incident operations. Within the operations there is unity of command.

Resources (personnel and equipment) stay under the administrative and policy control of their agencies. Operationally, they respond to tactical assignments under the coordination and direction of the Operations Section Chief.

An example of administrative and policy control may be agreements with a union that could affect overtime, compensable breaks, time in pay status, etc.
Instructor Notes: Present the following key points.

There are five primary features of a Unified Command organization:

- A single integrated incident organization
- Collocated (shared) facilities
- One set of incident objectives, single planning process, and Incident Action Plan
- Integrated General Staff
- Coordinated process for resource ordering

Instructor Note: This visual is an overview of the features. The next visuals provide additional information on each feature.
Instructor Notes: Present the following key points.

The first primary feature of Unified Command is a single integrated incident organization.

- Under Unified Command, the various jurisdictions and/or agencies are blended together into an integrated, unified team.

- The resulting organization may be a mix of personnel from several jurisdictions or agencies, each performing functions as appropriate and working toward a common set of objectives. The organization should be staffed by the most qualified and trained personnel from each organization.

- The proper mix of participants may depend on:
  - Location of the incident, which often determines the jurisdictions that must be involved.
  - Kind of incident, which dictates the functional agencies of the involved jurisdictions, as well as other agencies that may be involved. In a multijurisdictional situation, a Unified Command structure could consist of one responsible official from each jurisdiction. In other cases, Unified Command may consist of several functional department managers or assigned representatives from within a single political jurisdiction.

- Because of common ICS organization and terminology, personnel from other jurisdictions or agencies can easily be integrated into a single organization.
UNIFIED COMMAND FEATURES

Instructor Notes: Present the following key points.

Ask the participants: How can you build the teamwork necessary for Unified Command?

If not mentioned by the group, explain that teamwork within a Unified Command should be established prior to an incident by:

- Planning together.
- Training together.
- Conducting exercises together.
Instructor Notes: Present the following key points.

The second feature of Unified Command is collocated, or shared, facilities.

- Bringing the responsible officials, Command Staffs, and planning elements together in a single Incident Command Post can promote coordination.
- Establishing one Base can serve the needs of multiple agencies.
- Using one Staging Area can be more efficient.
Instructor Notes: Present the following key points.

The third feature of Unified Command is a single planning process and Incident Action Plan (IAP).

The planning process for Unified Command is similar to that used on a single jurisdiction or agency incident.
Instructor Notes: Present the following key points.

- The Planning “P” is a guide to the process and steps involved in planning for an incident, from the onset of the incident (shown in the “leg” of the “P”) through preparations for the first operational period (shown in the “top” of the “P”). In later units, each step of the Planning “P” will be described. In complex incidents, a formal planning process as illustrated in the visual is used. In less complex incidents or during the initial response, the planning steps are completed in a more flexible manner.

- The planning cycle then continues for each successive operational period, as shown in the circular part of the “P”.

- As illustrated on the visual, the Unified Command conducts an initial Unified Command meeting early in the incident response. Then the Unified Commanders jointly establish objectives for each operational period.

- The Planning "P" is extremely valuable when preparing for a planned event.

Source: The Planning “P” model is from the NIMS document Tab 8.
• The leg of the “P” describes the initial response period: Once the incident/event begins, the steps are Notifications, Initial Response & Assessment, Incident Briefing using ICS-201, and Initial Incident Command (IC)/Unified Command (UC) Meeting.
• At the top of the leg of the “P” is the beginning of the first operational planning period cycle. In this circular sequence, the steps are IC/UC Develop/Update Objectives Meeting, Command and General Staff Meeting, Preparing for the Tactics Meeting, Tactics Meeting, Preparing for the Planning Meeting, Planning Meeting, IAP Prep & Approval, and Operations Briefing.
• At this point a new operational period begins. The next step is Execute Plan & Assess Progress, after which the cycle begins again.
Instructor Notes: Present the following key points.

An important aspect of planning under Unified Command is the need for all jurisdictional or functional agency Incident Commanders to participate in a command meeting early in the incident response.

The command meeting provides the responsible agency officials with an opportunity to discuss and concur on important issues prior to joint incident planning.

Requirements for the command meeting include:

- The command meeting should include only agency Incident Commanders.
- The meeting should be brief, and important points should be documented.
- Prior to the meeting, the respective responsible officials should have reviewed the purposes and agenda items and be prepared to discuss them.

Review the sample Initial Unified Command Meeting Agenda on the next page.
### UNIFIED COMMAND FEATURES

**Visual 3.21: Initial Unified Command Meeting** (Continued)

<table>
<thead>
<tr>
<th>Feature</th>
<th>Description</th>
</tr>
</thead>
</table>
| Statement of specific jurisdictional/agency goals, based on the following overarching priorities: | - #1: Life Safety  
- #2: Incident Stabilization  
- #3: Property Preservation |
| Presentation of jurisdictional limitations, concerns, and restrictions | |
| Development of a collective set of incident objectives | |
| Establishment of and agreement on acceptable priorities | |
| Adoption of an overall strategy or strategies to accomplish objectives | |
| Agreement on the basic organization structure | |
| Designation of the best qualified and acceptable Operations Section Chief | |
| Agreement on General Staff personnel designations | |
| Agreement on planning, logistical, and finance agreements and procedures | |
| Agreement on the resource ordering process to be followed | |
| Agreement on cost-sharing procedures | |
| Agreement on informational matters | |
| Designation of one agency official to act as the Unified Command spokesperson | |
Instructor Notes: Present the following key points.

The fourth feature of Unified Command is shared Operations, Planning, Logistics, and Finance/Administration Sections.

The following are benefits of sharing these General Staff components:

- The Unified Command incident organization can benefit by integrating multijurisdictional and/or multiagency personnel into various other functional areas.

- Integrating other agency personnel into an organization can be equally beneficial in a single incident command situation.

**Examples:**

- In Operations and Planning, Deputy Section Chiefs can be designated from an adjacent jurisdiction, which may in future operational periods have the primary responsibility for these functions. By placing other agencies’ personnel in the Planning Section’s Situation, Resources, and Demobilization Units, there can be significant savings in personnel, and increased communication and information sharing.

- In Logistics, a Deputy Logistics Section Chief from another agency or jurisdiction can help to coordinate incident support as well as facilitate resource ordering activities. Placing other agencies’ personnel into the Communications Unit helps in developing a single incident-wide Communications Plan.

(Continued on the next page.)
UNIFIED COMMAND FEATURES

Visual 3.22: Shared General Staff Sections (Continued)

- Although the Finance/Administration Section often has detailed agency-specific procedures to follow, cost savings may be realized through agreements on cost sharing for essential services. For example, one agency might provide food services, another fuel, another security, etc.

Ask the participants: Can you provide more examples of the benefits of shared Operations, Planning, Logistics, and Finance/Administration Sections?

Allow the participants time to respond. If not mentioned by the group, tell the participants that Fusion Centers, Joint Terrorism Task Forces, and similar groups are examples where the principles of shared and integrated ICS principles and modular organizations are displayed.
Instructor Notes: Present the following key points.

Additional considerations for having an integrated General Staff include:

- Incident Commanders within the Unified Command must concur on the selection of the General Staff Section Chiefs.

- The Operations Section Chief must have full authority to implement the tactics within the Incident Action Plan.
Instructor Notes: Present the following key points.

Ask the participants: What should be considered when selecting the Operations Section Chief in a Unified Command?

If not mentioned by the participants, add the following:

- Typically, the Operations Section Chief will be from the jurisdiction or agency that has the greatest involvement in the incident. However, there is no requirement stating how the Operations Section Chief should be selected.

- The Operations Section Chief should be the most qualified and experienced person available.

- The Unified Command must agree upon the selection of the Operations Section Chief. The Operations Section Chief will have full authority to implement the operations portion of the Incident Action Plan.
UNIFIED COMMAND FEATURES

Instructor Notes: Present the following key points.

The fifth feature of Unified Command is coordinated resource ordering.

- An important advantage of Unified Command is advance establishment of resource ordering procedures. These decisions are made during the command meeting.

- The planning meeting will determine resource requirements for all levels of the organization. However, the nature and location of the incident will, to some extent, dictate the most effective off-incident resource ordering process.

- The resource requirements established at the planning meeting are given to the Logistics Section, which then creates a resource order that is transmitted to one jurisdiction or agency's dispatch center (or emergency operations center if activated) to be filled.

- Some situations may require resource orders to be made to different jurisdictions or agencies from the incident. Multiple resource orders are generally less desirable than the use of a single resource order, and should be avoided when possible.

- If the incident is operating under Unified Command, specific kinds and types of resources to be supplied by certain jurisdictions or agencies may be predesignated as a part of the resource order. This will depend upon the prior commitments of the responsible agency officials in the Unified Command meeting. If this information is not known in advance, then it will be up to the individual agency dispatch center (or emergency operations center if activated) receiving the resource order to fill the order based on closest available resources.

The Incident Commanders in the Unified Command should delegate Section Chiefs to establish and ensure adherence to these procedures. As much as possible, this should be accomplished pre-incident to allow training of Unit staff within Logistics, Finance, and any supporting Multiagency Coordination Centers.
INCIDENT COMMANDER RESPONSIBILITIES

Instructor Notes: Present the following key points.

Individually and collectively, the designated agency Incident Commanders functioning in a Unified Command must:

- Be clear on their jurisdictional or agency limitations. Any legal, political, jurisdictional, or safety restrictions must be identified and made known to all.

- Be authorized to perform certain activities and actions on behalf of the jurisdiction or agency they represent. These actions could include:
  - Ordering of additional resources in support of the Incident Action Plan.
  - The possible loaning or sharing of resources to other jurisdictions.
  - Agreeing to financial cost-sharing arrangements with participating agencies.

The Unified Command has the responsibility to manage the incident to the best of its abilities. These responsibilities include:

- Working closely with the other Incident Commanders in the Unified Command.
- Providing sufficient qualified staff and resources.
- Anticipating and resolving problems.
- Delegating authority as needed.
- Inspecting and evaluating performance.
- Communicating with their own agency on priorities, plans, problems, and progress.

(Continued on next page.)
INCIDENT COMMANDER RESPONSIBILITIES

The members of the Unified Command must function together as a team. They must ensure that effective coordination takes place. In many ways, this is the most important function they perform in Unified Command. There are two distinct levels of coordination:

- Coordination with other members of the Unified Command team. It is essential that all participants be kept mutually informed, involved, and consulted.

- Coordination with higher authorities, agency executive or administrators, etc. It is important to keep their respective authorities well informed and confident that the incident is being competently managed.
Instructor Notes: Present the following key points.

One of the Incident Commanders may be designated as the spokesperson. This was one of the items included in the agenda for the command meeting.

The spokesperson:

- Serves as a designated channel of communications from Command and General Staff members into the Unified Command.

- Does not make independent command decisions, but does provide a point of contact as necessary for the Command and General Staffs.
Instructor Notes: Present the following key points.

In order for Unified Command to be used successfully, it is important that agencies and jurisdictions prepare to use it. Preparation can be achieved in the following ways:

- Include Unified Command in local operations plans. It is recommended that Unified Command structures and agency responsibilities in local areas be included in local emergency operations plans and interagency mutual aid agreements.

- Train often as a team. It is important to routinely conduct training and exercises in Unified Command with adjacent jurisdictions and functional agencies. Incident Commanders who work and train together in all types of situations will better adapt to incidents managed under Unified Command, thus helping to ensure a successful outcome.

Training includes being knowledgeable about ICS and Unified Command. It is essential to understand how ICS Unified Command functions. Knowledge of ICS principles and structure will enable managers to accept and easily adapt to a Unified Command mode of operation when it is required. Lack of knowledge about ICS can limit the willingness of some jurisdictions or agencies to participate in a Unified Command incident organization. It is impossible to implement Unified Command unless agencies have agreed to participate in the process.
ADVANTAGES OF UNIFIED COMMAND

Instructor Notes: Present the following key points.

Ask the participants: What are the advantages of using Unified Command?

Write the participant responses on chart paper. Then, show the next visual and summarize the advantages of using Unified Command.
ADVANTAGES OF UNIFIED COMMAND

Instructor Notes: Present the following key points.

- The designated agency officials participating in the Unified Command represent different legal authorities and functional areas of responsibility and use a collaborative process to establish, identify, and rank incident priorities and determine appropriate objectives consistent with the priorities.

- Agencies that are heavily involved in the incident but lack jurisdictional responsibility are defined as supporting and/or assisting agencies. They are represented in the command structure and effect coordination on behalf of their parent agency through the Liaison Officer. Jurisdictional responsibilities of multiple incident management officials are consolidated into a single planning process, including the following:
  - Responsibilities for incident management.
  - Incident objectives.
  - Resource availability and capabilities.
  - Limitations.
  - Areas of agreement and disagreement between agency officials.

- The exact composition of the Unified Command structure will depend on the location(s) of the incident (i.e., which geographical jurisdictions or organizations are involved) and the type of incident (i.e., which functional agencies of the involved jurisdiction(s) or organization(s) are required). If planned for in advance (e.g., for planned events), the designation of a single Incident Command for some multijurisdictional incidents may be considered in an effort to promote greater unity of effort and efficiency.
ADVANTAGES OF UNIFIED COMMAND

Incidents are managed under a single collaborative approach, including the following:
- Common organizational structure.
- Single Incident Command Post.
- Unified planning process.
- Unified resource management.

Under Unified Command, the Incident Action Plan (IAP) is assembled by the Planning Section and is approved by the UC. A single individual, the Operations Section Chief, directs the tactical implementation of the IAP. The Operations Section Chief will normally come from the organization with the greatest jurisdictional involvement.

Unified Command works best when the participating members of the Unified Command collocate at the ICP and observe the following practices:
- Select an Operations Section Chief for each operational period.
- Keep each other informed of specific requirements.
- Establish consolidated incident objectives, priorities, and strategies.
- Establish a single system for ordering resources.
- Develop a consolidated written or oral IAP to be evaluated and updated at regular intervals.
- Establish procedures for joint decisionmaking and documentation.
APPLIED ACTIVITY

Visual 3.31

Instructor Notes: Present the following key points.

This unit includes an applied activity. To prepare for this activity, refer to the activity file on your resource CD.

Instructor Note:

- Print and review the instructor notes provided in the activity file.
- Make copies of the student handout materials prior to conducting the training. Make one copy for each participant.
Instructor Notes: Present the following key points.

Summarize this unit by showing the visual and asking the participants if they are now able to:

- Define and identify the primary features of Unified Command.
- Describe how Unified Command functions on a multijurisdiction or multiagency incident.
- List the advantages of Unified Command.
- Given a simulated situation, demonstrate roles and reporting relationships under a Unified Command that involves agencies within the same jurisdiction and under multijurisdiction conditions.

Ask the participants if there are any questions about the materials presented in this unit. Answer any questions. Next, transition to the next unit by explaining that Unit 4 will focus on assessing an incident and establishing initial incident objectives.
UNIT 4: INCIDENT/EVENT ASSESSMENT & AGENCY GUIDANCE IN ESTABLISHING INCIDENT OBJECTIVES
Unit Objectives

At the end of this unit, the participants should be able to:

- Describe methods and tools used to assess incident/event complexity.
- Describe types of agency(s) policies and guidelines that influence management of incident or event activities.
- Describe the process for developing incident objectives, strategies, and tactics.
- Describe the steps in transferring and assuming incident command.
- As part of an activity, develop incident objectives for a simulated incident.

Scope

- Unit Introduction and Objectives
- Activity: Incidents vs. Events
- Planning: Overview
- Initial Response Actions
- Incident Assessment
- Agency Policies and Guidance
- Initial Incident Objectives
- Incident Briefing
- Transfer of Command
- Applied Activity
- Summary

Methodology

The instructor will begin by providing the unit objectives and explaining that the unit will focus on assessing an incident and establishing initial incident objectives. The instructor will then describe two approaches for organizing incidents and events: planning for a known upcoming event, and organizing for an unplanned event. The instructor will explain the responsibilities of the Incident Commander in assessing an incident. The instructor will then discuss agency policies and guidelines that influence management of incident or event activities. Next, the unit presents instruction on how to write “SMART” objectives. The instructor will describe the processes for changing the initial Incident Action Plan and establishing incident objectives, while providing examples of each. Finally, the instructor will explain the process of transfer of command and the use of ICS Form 201 to assist in incident briefings.

The applied activity scenario requires participants to write initial incident objectives for a scenario. At the end of this unit, the instructor will answer any questions from participants and summarize the key points of the unit. The instructor will then transition to Unit 5: Planning.
Unit 4: Assessment & Agency Guidance in Establishing Incident Objectives

Materials

- PowerPoint visuals 4.1 – 4.32
- Instructor Guide
- PowerPoint slides and a computer display system
- Student Manual

Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit Introduction and Objectives</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Activity: Incidents vs. Events</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Planning: Overview</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Initial Response Actions and Incident Assessment</td>
<td>15 minutes</td>
</tr>
<tr>
<td>Agency Policies and Guidelines</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Initial Incident Objectives</td>
<td>20 minutes</td>
</tr>
<tr>
<td>Incident Briefing</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Transfer of Command</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Applied Activity</td>
<td>60 minutes</td>
</tr>
<tr>
<td>Summary</td>
<td>5 minutes</td>
</tr>
<tr>
<td><strong>Total Time</strong></td>
<td><strong>2 hours 20 minutes</strong></td>
</tr>
</tbody>
</table>
Unit 4: Assessment & Agency Guidance in Establishing Incident Objectives

UNIT INTRODUCTION

Visual 4.1

Instructor Notes: Present the following key points.

Unit 4 focuses on the assessment of incidents/events and on developing incident objectives. The unit includes a discussion of steps in the planning process that are completed as the assessment is done and initial incident objectives are established.
UNIT OBJECTIVES

Visual 4.2

Unit Objectives

- Describe methods and tools used to assess incident/event complexity.
- Describe types of agency(s) policies and guidelines that influence management of incident or event activities.
- Describe the process for developing incident objectives, strategies, and tactics.
- Describe the steps in transferring and assuming incident command.
- As part of an activity, develop incident objectives for a simulated incident.

Instructor Notes: Present the following key points.

Display the visual and review the unit objectives with the class. Tell the participants that by the end of this unit, they should be able to:

- Describe methods and tools used to assess incident/event complexity.
- Describe types of agency(s) policies and guidelines that influence management of incident or event activities.
- Describe the process for developing incident objectives, strategies, and tactics.
- Describe the steps in transferring and assuming incident command.
- As part of an activity, develop incident objectives for a simulated incident.
ACTIVITY: INCIDENTS VS. EVENTS

Presentation:

Instructor Notes: Present the following key points.

Present the following instructions to the participants:

1. Review the following definitions from the NIMS glossary:
   - **Incident**: An unexpected occurrence that requires immediate response actions through an ICS organization.
   - **Event**: A scheduled nonemergency activity (e.g., sporting events, concerts, parades).

2. Working as a team, identify the differences and similarities between planning for incidents versus events. Record your answers on chart paper.

3. Choose a spokesperson and be ready to present your answers to the large group in 10 minutes.

Monitor the time. After 10 minutes, call time. Conduct the activity discussion as follows:

1. Ask the spokesperson from the first team to present one aspect of planning for incidents and one aspect of planning for events.
2. Next, ask the second team spokesperson to present a different aspect of planning for incidents and planning for events.
3. Then, ask the third team spokesperson to present a different aspect of planning for incidents and planning for events.
4. Continue this process until all of the teams have presented.
5. After all teams have presented, ask if any team has additional aspects not yet mentioned.

Then, show the next two visuals and summarize the aspects of planning for incidents and planning for events.
Instructor Notes: Present the following key points.

Incidents are often characterized by several important factors that need to be considered when planning for the incident:

- Time is of the essence (time criticality).
- The situation is unstable.
- The incident has the potential to expand rapidly.
- Communications and information may be incomplete.
- Staff on scene may be experienced in control measures, but are usually junior in the organization and not necessarily experienced in managing expanding incidents.

This kind of situation requires immediate organizing actions that must be taken to ensure effective incident management and control. It is obvious, but too often overlooked, that the number of considerations will increase as the situation deteriorates and the incident grows.

The first responding units to the incident must take the initial steps to provide organization for the incident. While that may appear obvious, the longer term importance of these initial decisions is often overlooked.
Instructor Notes: Present the following key points.

The planners of an event should know the following:

- Type of event
- Location, size, expected duration, history, and potential in order to project incident objectives
- Number of agencies involved
- Single or multijurisdiction
- Command Staff needs
- Kind, type, and number of resources required
- Projected aviation operations
- Staging Areas required
- Other facilities required
- Kind and type of logistical support needs
- Financial considerations
- Known limitations or restrictions
- Available communications

Using the ICS planning process to plan scheduled events reinforces ICS concepts and makes implementation during emergencies much easier.
Instructor Notes: Present the following key points.

The Planning “P” illustrates the process and steps involved in incident planning.

This unit involves the initial response, assessment, agency guidance, incident briefing, and setting of initial incident objectives and strategies.
INITIAL RESPONSE ACTIONS

Instructor Notes: Present the following key points.

Show the visual and ask the question: What actions must the first responding units take to organize an incident?

Tell the participants to work in their assigned teams to do the following:

- Discuss the question within the team and develop a list of response actions.
- Record the list on an easel pad.
- Select a spokesperson to present the team’s list.
- Be prepared to present to the large group in 10 minutes.

Debrief the activity by asking for a volunteer to present his or her team’s list.

Ask other teams if they have additional items to add to the first team’s list.

After all teams have responded to the question, show the next visual and review the list of initial response actions.
INITIAL RESPONSE ACTIONS

Instructor Notes: Present the following key points.

Initial decisions and objectives are established based on the following priorities:

- First Priority: Life Safety
- Second Priority: Incident Stabilization
- Third Priority: Property Conservation

Ask the participants for examples of each type of priority. Present examples based on your experience.
INITIAL RESPONSE ACTIONS

Instructor Notes: Present the following key points.

- Emergencies such as fires, searches, law enforcement operations, hazardous materials incidents, and emergency medical situations have different characteristics and require specially trained personnel. However, they are quite similar in how they are approached from an incident management standpoint.

- For any incident, the person currently in charge (Incident Commander) must do at least the following:
  - **Size up the situation.** A thorough sizeup will provide the Incident Commander with the information needed to make initial management decisions.
  - **Determine if life is at immediate risk.**
  - **Ensure that personnel safety factors are taken into account.**
  - **Determine if there are any environmental issues that need to be addressed.** For example, will a hazardous materials spill affect a nearby lake or stream? Is there a toxic plume that requires evacuation?

(Continued on next page.)
INITIAL RESPONSE ACTIONS

Visual 4.9: Initial Response Actions (Continued)

- **Assume command and establish the Incident Command Post.**

- **Establish immediate incident objectives, strategies, and tactics.** The sizeup should provide information about what needs to be done first to prevent loss of life or injury and to stabilize the situation. For small incidents, the initial Incident Action Plan (IAP) may be verbal and may cover the entire incident. For larger, more complex incidents, the initial IAP may cover the initial operating period. A written IAP will then be developed.

- **Determine if there are enough resources of the right kind and type on scene or ordered.** The incident objectives will drive resource requirements. What resources are required to accomplish the immediate incident objectives? If the right kind and type of resources are not on scene, the Incident Commander must order them immediately.

- **Establish the initial organization that maintains span of control.** At this point, the Incident Commander should ask: What organization will be required to execute the IAP and achieve the objectives? He or she should establish that organization, always keeping in mind safety and span-of-control concerns. Consider if span of control is or will soon approach practical limits. The span of control range of three to seven is to ensure safe and efficient utilization of resources.

Ordering an Incident Management Team (IMT) may be necessary depending on the size or complexity of the incident, or existing policies and laws. Many local organizations are not equipped to manage a type 3 incident, so when a sizeup reveals that additional IMT support may be required, it should be requested as soon as possible.
INITIAL RESPONSE ACTIONS

Instructor Notes: Present the following key points.

In an initial incident, a sizeup is done to set the initial incident objectives.

The first responder to arrive must assume command and size up the situation by determining:

- Nature and magnitude of the incident
- Hazards and safety concerns
  - Hazards facing response personnel and the public
  - Evacuation and warnings
  - Injuries and casualties
  - Need to secure and isolate the area
- Initial priorities and immediate resource requirements
- Location of Incident Command Post and Staging Area(s)
- Entrance and exit routes for responders

Ask the participants: What additional factors they might consider when conducting a sizeup?
Instructor Notes: Present the following key points.

A sizeup, or a clear understanding of an incident or event, is critical to determining incident objectives and strategies and applying tactics.

Many factors must be considered when performing this assessment, but the most important and all-encompassing factors are “situational awareness” and “incident complexity.”
INCIDENT ASSESSMENT

Instructor Notes: Present the following key points.

“Situational awareness” is the perception of what the incident is doing and what you are doing in relation to the incident and your objectives. It involves an awareness of potential incident behavior and the ability to predict where the incident, and you, will be in the future.

It is equally important that situational awareness is maintained throughout the course of a planned event.
Instructor Notes: Present the following key points.

Situational awareness depends both on individual perception and sharing it with the rest of the team, and involves these actions:

- Identify problems or potential problems.
- Recognize the need for action (atypical situations).
- Do not ignore information discrepancies; rather, analyze discrepancies before proceeding.
- Seek and provide information before acting.
Other situational awareness actions:

- Continue collecting information about the incident and assignments made.
- Assess your own task performance.
- Identify deviations from the expected.
- Communicate your situational awareness to all team members!

Recognition Primed Decisionmaking (RPD) is a model that describes how experts make decisions under stressful situations that are time critical and rapidly changing. According to the RPD model, a decisionmaker uses his or her expertise and experience to quickly assess (size up) the situation and to come up with an acceptable course of action. The decisionmaker then "plays out" the course of action to see whether it is feasible or requires modification. If the first choice is not feasible, the individual then starts over, selects another option, and evaluates it.

A first responder arriving at an incident scene will quickly recognize what to do and act accordingly. An experienced responder can recognize the subtle cues that the situation may change and modify priorities on the fly. One aspect of RPD is that the expert can quickly rule out unimportant information or unusable solutions, almost on a subconscious level, whereas a novice would need much more time to explicitly think through all possibilities.
Instructor Notes: Present the following key points.

When under stress, adrenaline in the body may shut down or reduce some body functions to be able to enhance others. Tunnel vision can occur on both physiological and psychological levels. Hearing and vision may become narrow to focus on the most immediate physical setting or needs. As one’s ability to take in new information decreases, it can cause a decisionmaker to lose the “big picture” and miss important factors.

It is especially easy for incident responders in command roles to focus on the element of response with which they are most familiar. For example, focusing on the details of rescue only, one may disregard the need for perimeter control and create conditions where more people become victims.

Show the visual and ask the questions:

- How might you know if you are experiencing tunnel vision?
- What causes tunnel vision? How can it be avoided?

If not mentioned by the group, add the following:

- You might know you are experiencing tunnel vision if you receive feedback indicating that you are not attempting to gather additional information or you are ignoring additional information that is provided.
- Tunnel vision may be caused by several factors, including reliance on “things always working out” or the perceived need to expedite decisionmaking.
- Tunnel vision can be avoided in various ways, such as being willing to seek additional input before making a decision, or generally being open to new ideas and suggestions.
Instructor Notes: Present the following key points.

Complexity analysis involves that combination of factors that affect the probability of control of an incident. Many factors determine the complexity of an incident, including:

- Impacts to life, property, and the economy.
- Community and responder safety.
- Expected duration.
- Number of resources involved.
- Potential hazardous materials.
- Weather and other environmental influences.
- Likelihood of cascading events.

Note: Cascading events or incidents occur as a direct or indirect result of an initial event or incident. For example, as the result of a hazardous materials spill a neighborhood must be evacuated and a local stream is contaminated. Taken together, the effect of cascading events or incidents can be crippling to a community.
Instructor Notes: Present the following key points.

Other factors that affect incident complexity:

- Potential crime scene (including terrorism).
- Political sensitivity, external influences, and media relations.
- Area involved, jurisdictional boundaries.
- Availability of resources.

Information on incident complexity was summarized in Unit 2.

Ask the participants if they would add anything to the factors listed on the visual.
INCIDENT ASSESSMENT

Instructor Notes: Present the following key points.

The Incident Commander must also be aware of authorities, policies, and external stakeholders as part of the incident sizeup.

Agency policy can affect the establishment of incident objectives. All agencies develop policies and guidelines for accomplishing their responsibilities. The Incident Commander must be fully aware of agency policy including any limits of authority.

On the majority of incidents, agency policy is known by the Incident Commander because the incident occurs in his/her jurisdiction. These guidelines and policies may be for routine activities or for emergency activities, or both. All or some of these policies and guidelines may come to bear in the management of an incident or a planned event based upon the jurisdiction of an agency. Some agencies will require agency policies in writing on large incidents; others do not.

These policies, guidelines, and authorities may give direction on the following:

- Safety
- Control objectives
- Cleanup and rehabilitation guidelines
- Spending
- Resource sharing

External stakeholders are those parties not directly affected by the incident who, nonetheless, could be affected by decisions that are made in conjunction with the incident. External stakeholders can usually be identified when the question is asked, “Who else could be affected by this decision?”
Instructor Notes: Present the following key points.

Show the visual and ask the question: What are some examples of agency policies and guidelines that can affect your management of an incident?

Record the participant responses on an easel chart, then show the next visual and review the list of examples of agency policies and guidelines.
Instructor Notes: Present the following key points.

The following are examples of agency policies and guidelines that can affect management of an incident:

- Pre-incident plans
- Standard operating procedures
- Emergency operations plans
- Continuity of operations plans
- Community preparedness plans
- Mutual aid and assistance agreements
- Wildland Fire Situation Analysis (WFSA)
- Wildland Fire Implementation Plan (WFIP)
- Corrective action plans
- Mitigation plans
- Recovery plans
- Tribal, State, regional, and national mobilization guides
- Field operations guides
- Delegations of authority
INITIAL INCIDENT OBJECTIVES

Instructor Notes: Present the following key points.

- On small incidents, the Incident Commander is solely responsible for developing incident objectives.

- On larger incidents, Command and General Staff contribute to the development of incident objectives. However, the Incident Commander is still responsible for the incident objectives.
INITIAL INCIDENT OBJECTIVES

Instructor Notes: Present the following key points.

Explain the concept of developing:

- **Incident objectives**, then
- **Strategies**, then
- **Tactics**.

Explain the relationship between incident objectives, strategies, and tactics by presenting the following points:

- Incident objectives state what will be accomplished.
- Strategies establish the general plan or direction for accomplishing the incident objectives.
- Tactics specify how the strategies will be executed.

Remember that life safety is the first priority, followed by incident stabilization and property conservation.

**Note:** This discussion is focused on developing incident objectives. Strategies and tactics will be discussed in Unit 5.
Instructor Notes: Present the following key points.

Tell the participants that incident objectives should have the following SMART characteristics:

1. **Specific** – The wording must be precise and unambiguous in describing the objective.

2. **Measurable** – The design and statement of objectives should make it possible to conduct a final accounting as to whether objectives were achieved.

3. **Action Oriented** – The objective must have an action verb that describes the expected accomplishments.

4. **Realistic** – Objectives must be achievable with the resources that the agency (and assisting agencies) can allocate to the incident, even though it may take several operational periods to accomplish them.

5. **Time Sensitive** – The timeframe should be specified (if applicable).
INITIAL INCIDENT OBJECTIVES

**Sample Objectives**

- Residents in Division A will be evacuated to the Walnford High School reception center by 1700 hours.
- Complete Preliminary Damage Assessments of all damaged residential structures in Anytown by 0800 hours on 3/21.
- Restore water to the business district by 0900 hours on 3/21.
- Contain fire within existing structures (during the current operational period).

**Instructor Notes:** Present the following key points.

Review the following objectives:

- Residents in Division A will be evacuated to the Walnford High School reception center by 1700 hours.
- Complete Preliminary Damage Assessments of all damaged residential structures in Anytown by 0800 hours on 3/21.
- Restore water to the business district by 0900 hours on 3/21.
- Contain fire within existing structures (during the current operational period).

Facilitate a discussion by asking the participants if they agree that these objectives meet the SMART guidelines.
INITIAL INCIDENT OBJECTIVES

Instructor Notes: Present the following key points.

Situation: It’s midnight and heavy rains have caused localized flooding. In one neighborhood, residents are becoming trapped in their homes.

Incident Objective: As needed, provide assistance to those who might have localized flooding problems.

Ask the question: Is this objective SMART?

Ask for volunteers to respond to the question. If any volunteers feel that the objective does not meet the SMART guidelines, ask them how it is deficient. If not mentioned by any volunteers, add the following:

- The wording is ambiguous in that the type of assistance is not specified.
- The wording is not measurable because no time or other limitations are mentioned.
- The wording is not action oriented because “provide” does not strongly describe the action to be taken.
- The wording is not realistic because “as needed” may exceed all available resources.
- The wording is not time sensitive because no time constraints are indicated.
INITIAL INCIDENT OBJECTIVES

Activity: SMART Objectives? (2 of 2)

Situation: Blocked storm drains are causing standing water on major roadways.

Incident Objective: Notify public works of storm drain blockages causing standing water, or clear the drains to prevent traffic accidents.

How would you improve this objective?

Instructor Notes: Present the following key points.

Show the visual and ask the question: How would you improve this objective?

Ask for volunteers to respond to the question. If not mentioned by any volunteers, add the following:

- The ambiguity of the wording could be corrected by stating which of the two actions is to be taken.
- The wording could be made time sensitive by stating when the action is to be taken and completed.

Optional Activity:

Instructions: Work as a team to:

1. Rewrite the objective on the visual so that it is SMART!
2. Assume any needed missing information.
3. Record the SMART version on chart paper.
4. Select a spokesperson to present the revised objective.
Instructor Notes: Present the following key points.

The Planning “P” illustrates the incident planning cycle. Following the Initial Assessment, an Incident Briefing is conducted using ICS Form 201, the Incident Briefing form.
Instructor Notes: Present the following key points.

The ICS Form 201 Incident Briefing form:

- Provides staff with information about the incident situation and the resources allocated to the incident.
- Serves as a permanent record of the initial response to the incident.
- Can be used for transfer of command.

A copy of the ICS Form 201 is shown on the visual as part of the upcoming applied activity.

Ask the participants to discuss how their organizations currently capture the information displayed on the ICS Form 201. Discuss how, why, and when it might be important to use the ICS Form 201.
TRANSFER OF COMMAND

Instructor Notes: Present the following key points.

Present the following scenario:

**Scenario:** You have been serving as the initial Incident Commander. A more qualified staff member has just arrived at the scene and will assume command of the incident, as directed by higher authority through a delegation of authority.

**Then ask the participants:** What steps must occur before command is transferred?

Ask for volunteers to answer the question. Then, show the next visual and present the steps in assuming command.
TRANSFER OF COMMAND

Instructor Notes: Present the following key points.

The person assuming command should do the following:

- Assess the situation with the current Incident Commander.
- Receive a briefing from the current Incident Commander.
- Determine an appropriate time for transfer of command and document the transfer (ICS Form 201).
- Notify others of the change in incident command.
- Assign the current Incident Commander to another position in the incident organization.

Transfer of command on an expanding incident is to be expected. Changing command does not reflect on the competency of the current Incident Commander. Change of command may also occur as a result of scheduled shift changes.

The purpose of the transfer of command briefing is to increase the incoming Incident Commander’s situational awareness. Remember that using the steps outlined above will help ensure a smooth transition.

Refer to the table in the Student Manual that lists the guidelines for transfer of command briefings.
TRANSFER OF COMMAND

Visual 4.30: Steps in Assuming Command (Continued)

<table>
<thead>
<tr>
<th>Transfer of Command Briefings</th>
</tr>
</thead>
<tbody>
<tr>
<td>A transfer of command briefing must be held by the current Incident Commander, and take place face to face if possible. The briefing must cover the following:</td>
</tr>
<tr>
<td>• Incident history (what has happened)</td>
</tr>
<tr>
<td>• Priorities and objectives</td>
</tr>
<tr>
<td>• Current plan</td>
</tr>
<tr>
<td>• Resource assignments</td>
</tr>
<tr>
<td>• Incident organization</td>
</tr>
<tr>
<td>• Resources ordered/needed</td>
</tr>
<tr>
<td>• Facilities established</td>
</tr>
<tr>
<td>• Status of communications</td>
</tr>
<tr>
<td>• Any constraints or limitations as directed by policies and guidelines</td>
</tr>
<tr>
<td>• Incident potential</td>
</tr>
<tr>
<td>• Status of Delegation of Authority, inherent or specific</td>
</tr>
</tbody>
</table>

The incoming Incident Commander must ensure that he or she understands the responsible agencies’ policies and Agency Administrator’s direction as discussed earlier in this unit. This may be inherent based on the person’s employment or rank, or may be provided by the Agency Administrator.

Changing Incident Objectives

Explain that the incoming Incident Commander, because of depth of experience or a change in incident-related conditions, may desire to modify incident objectives upon transition of command. Changes could be required for the following reasons:

• Change in Agency Administrator goals
• Change in available resources – kinds or types
• Failure or unexpected success of tactical efforts
• Improved intelligence
• Cost factors
• Political considerations
• Environmental considerations

(Continued on the next page.)
TRANSFER OF COMMAND

Visual 4.30: Steps in Assuming Command (Continued)

Critical changes should be made immediately, rather than allowing the existing plan to proceed. Delayed changes may result in additional control problems, greater loss, and increased expense and risk. However, changes can cause disruptions. When possible, less time-sensitive changes should be implemented at the start of the next operational period.

Making a change does not imply that previous decisions and actions were wrong. Many things can influence the need for change. The Incident Commander must be assertive but also aware of potential risk and safety considerations involved in changes. Four guidelines to changes are:

1. Implement appropriate safety procedures for all changes. Before implementing changes, the Incident Commander must consider the impact on the safety of responders. If a change in the IAP places responders at greater risk, safety procedures must be changed as well.
2. Make changes only if you must. Do not make unnecessary changes to incident objectives or the IAP.
3. Make changes sooner rather than later. Evaluate the impact of any changes on overall operations. Do not wait beyond the beginning of the next operational period to make changes. If changes are critical, make them immediately.
4. Ensure that the changes are communicated clearly throughout the organization. Poor communication of changed objectives will reduce the efficiency of the response. It could also increase costs and put responders at greater risk.
APPLIED ACTIVITY

Visual 4.31

Instructor Notes: Present the following key points.

This unit provides alternative activities. To prepare for this activity, refer to the activity file provided on your resource CD and select a scenario. Note that the scenario you select must be used in all remaining units.

Instructor Note:

- Select a scenario from the alternative ones provided in the activity file.

- Make copies of the participant handout materials prior to conducting the training. Make one copy for each participant.
SUMMARY

Instructor Notes: Present the following key points.

Ask participants if they are able to:

- Describe methods and tools used to assess incident/event complexity.
- Describe types of agency(s) policies and guidelines that influence management of incident or event activities.
- Describe the process for developing incident objectives, strategies, and tactics.
- Describe the steps in transferring and assuming incident command.
- As part of an activity, develop incident objectives for a simulated incident.
UNIT 5: PLANNING PROCESS
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Unit 5: Planning Process

Unit Objectives

At the end of this unit, the participants should be able to:

- Identify the importance of planning for incidents/events.
- Explain the differences between planning for incidents and events.
- Discuss major planning steps including logistical concerns, cost-benefit analysis, understanding the situation, developing and implementing the plan, and evaluating the plan.
- Explain the criteria for determining when the Incident Action Plan (IAP) should be prepared in writing.
- Describe the role and use of ICS forms and supporting materials included in an IAP for effective incident/event management.
- Describe the strategy meeting, tactics meeting, planning meeting, operational period briefing, and team meeting.
- Given a scenario, describe appropriate strategies and tactics to meet incident objectives.
- Conduct a tactics meeting and complete an ICS 215, Operational Planning Worksheet, and ICS 215A, Incident Action Plan Safety Analysis, using the strategies and tactics from the scenario.
- Describe how ICS 215A, Incident Action Plan Safety Analysis, is used with ICS 215 to mitigate hazards in tactical operations.
- Recognize agency-specific aviation policies and procedures as they relate to safety.
- Participate in a planning meeting using the planning process and develop a written IAP for an incident/event using the appropriate ICS forms and supporting materials.
- Using the IAP, conduct an operational period briefing.

Scope

- Unit Introduction and Objectives
- The Planning Process
- Starting Each Planning Cycle: Assessing Incident Objectives
- Determining Tactics
- Preparing for the Planning Meeting
- Conducting the Planning Meeting
- IAP Preparation and Approval
- Activity: Analyzing an IAP
- Conducting the Operations Briefing
- Executing the Plan and Assessing Progress
- Applied Activity: Planning Process
- Summary
Methodology

The instructor will begin this unit by pointing out that the incident planning process is critical to a successful response, because it provides a system for dividing incident objectives into tactical assignments for specific operational periods.

The instructor will present the unit objectives and explain that the unit focuses on the planning process, including: planning for incidents and events, major planning steps, criteria for determining when the Incident Action Plan should be prepared in writing, the role and use of ICS forms and supporting materials, strategy and command meetings, tactics meeting, planning meeting, Operations Briefing, team meeting, and appropriate strategies and tactics to meet incident objectives.

The scenario for the applied activity is a continuation of the incident begun in the previous unit. Teams will perform the following activities:

- Review the scenario update, scenario objectives, and tactical recommendations.
- Discuss the hazard and strategy recommendations and select a course of action.
- Based on the selected tactics, determine resources requirements. Complete the Operational Planning Worksheet (ICS 215) and Incident Action Plan Safety Analysis (ICS 215A).
- Identify the ICS forms to be included in the IAP.
- Outline the agenda for the operations briefing and present an IAP as a concise 5-minute to 10-minute operations briefing.

At the end of this unit, the instructors will answer any questions from participants and summarize the key points of the unit. The instructors will then transition to the next unit.

Materials

- PowerPoint visuals 5.1 – 5.53
- Instructor Guide
- PowerPoint slides and a computer display system
- Student Manual
Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit Introduction and Objectives</td>
<td>5 minutes</td>
</tr>
<tr>
<td>The Planning Process</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Starting Each Planning Cycle: Assessing Incident Objectives</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Determining Tactics</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Preparing for the Planning Meeting</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Conducting the Planning Meeting</td>
<td>5 minutes</td>
</tr>
<tr>
<td>IAP Preparation and Approval</td>
<td>20 minutes</td>
</tr>
<tr>
<td>Activity: Analyzing an IAP</td>
<td>55 minutes</td>
</tr>
<tr>
<td>Conducting the Operations Briefing</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Executing the Plan and Assessing Progress</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Applied Activity: Planning Process</td>
<td>90 minutes</td>
</tr>
<tr>
<td>Summary</td>
<td>5 minutes</td>
</tr>
</tbody>
</table>

**Total Time** 3 hours 45 minutes
Unit 5: Planning Process

Your Notes:
Instructor Notes: Present the following key points.

- ICS emphasizes orderly and systematic planning. Explain that the incident planning process allows the organization to divide incident objectives into tactical assignments for specific operational periods.

- The Incident Action Plan (IAP) is the central tool for planning during a response. This unit will cover the planning process and the IAP.

- The planning process is an integral part of ICS. It provides a formalized mechanism for maintaining a big-picture approach to incident management and supports incident safety, effective resource management, and the achievement of manageable objectives. It is a collaborative process that includes all members of the Command and General Staffs to ensure all key issues are addressed.

- Many students assume ICS is form driven. It is objective driven. The purpose of the ICS forms is to provide a template for Command and General Staff members as they develop the plan in a high-stress environment, so they do not leave anything important out. The forms serve to guide the development of the IAP by providing a mechanism where the responsible staff member completes the portion of the plan that they have responsibility for.
UNIT OBJECTIVES

Visual 5.2

Unit Objectives (1 of 3)

- Identify the importance of planning for incidents/events.
- Explain the differences between planning for incidents and events.
- Discuss major planning steps including logistical concerns, cost-benefit analysis, understanding the situation, developing and implementing the plan, and evaluating the plan.
- Explain the criteria for determining when the Incident Action Plan (IAP) should be prepared in writing.

Instructor Notes: Present the following key points.

Show the next three visuals and review the unit objectives with the class. Tell the participants that by the end of this unit, they should be able to:

- Identify the importance of planning for incidents/events.
- Explain the differences between planning for incidents and events.
- Discuss major planning steps including logistical concerns, cost-benefit analysis, understanding the situation, developing and implementing the plan, and evaluating the plan.
- Explain the criteria for determining when the Incident Action Plan (IAP) should be prepared in writing.
Instructor Notes: Present the following key points.

Continue presenting the unit objectives:

- Describe the role and use of ICS forms and supporting materials included in an IAP for effective incident/event management.

- Describe the strategy meeting, tactics meeting, planning meeting, operational period briefing, and team meeting.

- Given a scenario, describe appropriate strategies and tactics to meet incident objectives.

- Conduct a tactics meeting and complete an ICS 215, Operational Planning Worksheet, and ICS 215A, Incident Action Plan Safety Analysis, using the strategies and tactics from the scenario.
UNIT OBJECTIVES

Instructor Notes: Present the following key points.

Present the remaining objectives:

- Describe how ICS 215A, Incident Action Plan Safety Analysis, is used with ICS 215 to mitigate hazards in tactical operations.

- Recognize agency-specific aviation policies and procedures as they relate to safety.

- Participate in a planning meeting using the planning process and develop a written IAP for an incident/event using the appropriate ICS forms and supporting materials.

- Using the IAP, conduct an operational period briefing.
Instructor Notes: Present the following key points.

Ask the participants: What are the benefits of the incident planning process?

Ask for volunteers to answer the question. If not mentioned by the participants, add the following benefits:

- The planning process provides the following benefits:
  - Enhances safety.
  - Clarifies roles.
  - Communicates the objectives of the Incident Commander.
  - Provides a base against which progress can be measured.
  - Solves problems (during the planning process problems are identified and solved).
  - Allows for predictions of the probable course of events.
  - Builds stronger teams.
  - Ensures efficient use of resources.

- It was recognized early in the development of ICS that the critical task of adequate planning was often overlooked. The results were poor resource use, inappropriate tactics and strategies, safety problems, higher costs, and lower effectiveness.

- The incident planning process of ICS provides a systematic means for all agencies involved in the response to have their objectives recognized and incorporated into the plan. In addition, this process allows everyone to know the plan and their role in it.

(Continued on the next page.)
• Planning should not be overlooked when dealing with more routine incidents. Often, smaller incidents that are routine and less complex do not need the creation of a written Incident Action Plan, or IAP. **The absence of a written plan does not decrease the need for a planning process.** Smaller, less complex incidents are usually managed by Incident Commanders who rely upon their training, experience, standard operating procedures, and other policies to assist in directing their actions. Regardless, they still are relying on a known plan and can define their actions accordingly.

• For more complex, large-scale incidents, Incident Commanders should use a more formal process. The result of the more formal planning process is typically the written IAP. The decision to create this more formal written plan rests with the Incident Commander. The benefits of this written plan are undeniable when the size and complexity of the response require the participation of many responders and multiple agencies.

Add situations that demonstrate the benefits of planning based on your personal experience.
THE PLANNING PROCESS

Instructor Notes: Present the following key points.

- **Sound, timely planning provides the foundation for effective incident management and is applicable to both events and incidents.** The NIMS/ICS planning process represents a template for strategic, operational, and tactical planning that includes all steps that an Incident Commander and other members of the Command and General Staffs should take to develop and disseminate an IAP. The planning process may begin with the scheduling of a planned event, the identification of a credible threat, or the initial response to an actual or impending event. The process continues with the implementation of the formalized steps and the staffing required to develop a written IAP.

- The planning process should provide the following:
  - Current information that accurately describes the incident situation and resource status;
  - Predictions of the probable course of events;
  - Alternative strategies to attain critical incident objectives; and
  - An accurate, realistic IAP for the next operational period.

- During the initial stages of incident management, planners should develop a simple plan that can be communicated through concise oral briefings. Frequently, this plan must be developed very quickly and with incomplete situation information. As the incident management effort evolves over time, additional lead time, staff, information systems, and technologies enable more detailed planning and cataloging of events and “lessons learned.” The five primary phases in the planning process are:
THE PLANNING PROCESS

Visual 5.6: ICS Planning Process (Continued)

1. **Understand the Situation:** The first phase includes gathering, recording, analyzing, and displaying situation, resource, and incident potential information in a manner that will facilitate:
   - Increased situational awareness of the magnitude, complexity, and potential impact of the incident; and
   - The ability to determine the resources required to develop and implement an effective IAP.

2. **Establish Incident Objectives and Strategy:** The second phase includes formulating and prioritizing measurable incident objectives and identifying an appropriate strategy. The incident objectives and strategy must conform to the legal obligations and management objectives of all affected agencies. These may also need to include specific issues relevant to critical infrastructure.

   Reasonable alternative strategies that will accomplish overall incident objectives are identified, analyzed, and evaluated to determine the most appropriate strategy for the situation at hand. Evaluation criteria include public health and safety factors, estimated costs, and various environmental, legal, and political considerations.

3. **Develop the Plan:** The third phase involves determining the tactical direction and the specific resource, reserves, and support requirements for implementing the selected strategies and tactics for the operational period.

   Before the formal planning meetings, each member of the Command and General Staffs is responsible for gathering certain information to support the proposed plan.

4. **Prepare and Disseminate the Plan:** The fourth phase involves preparing the plan in a format that is appropriate for the level of complexity of the incident. For the initial response, the format is a well-prepared outline for an oral briefing. For most incidents that will span multiple operational periods, the plan will be developed in writing according to ICS procedures.

5. **Execute, Evaluate, and Revise the Plan:** The planning process includes the requirement to execute and evaluate planned activities and check the accuracy of information to be used in planning for subsequent operational periods. The General Staff should regularly compare planned progress with actual progress. When deviations occur and when new information emerges, that information should be included in the first step of the process used for modifying the current plan or developing the plan for the subsequent operational period.

Source: NIMS Document Tab 8 – The Planning Process
Instructor Notes: Present the following key points.

Ask the participants: What are the situations when you would consider developing a written Incident Action Plan?

Ask for volunteers to answer the question. Then, show the next visual and summarize the situations when a written plan would be considered.
Instructor Notes: Present the following key points.

- For simple incidents of short duration, the IAP most likely will be developed by the Incident Commander and communicated to subordinates in a verbal briefing. The planning associated with this level of complexity does not warrant a formal planning meeting process as highlighted above.

- Certain conditions may warrant a more formal process. A **written IAP should be considered** whenever:
  - Two or more jurisdictions are involved in the response.
  - The incident continues into the next operational period.
  - A number of ICS organizational elements are activated (typically when General Staff Sections are staffed).
  - It is required by agency policy.
  - A hazmat incident is involved. (Required)

- A written IAP provides:
  - A clear statement of objectives and actions.
  - A basis for measuring work effectiveness and cost effectiveness.
  - A basis for measuring work progress and providing accountability.
  - Documentation for post-incident fiscal and legal activities.
An important concept to be discussed with regard to this planning process is the operational period concept. All ICS planning is designed around identifying accomplishments expected over a set period of time called the operational period.

The specific length of time of the operational period varies based on a list of factors. These factors are:

- Safety conditions – Safety of responders, victims, and others is always the first priority on any response.
- Condition of resources – Planning must be done far enough in advance to ensure that additional resources needed for the next operational period are available.
- The length of time necessary or available to achieve the tactical assignments.
- Availability of fresh resources.
- Future involvement of additional jurisdictions or agencies.
- Environmental conditions – Factors such as the amount of daylight remaining and weather and wind conditions can affect decisions about the length of the operational period.

(Continued on the next page.)
THE PLANNING PROCESS

Visual 5.9: What’s an Operational Period? (Continued)

- The Incident Commander will determine the length of the operational period with input from staff. In some cases, the operational period length may change from day to day based on operational and incident needs.

- The length of an operational period depends on the nature and complexity of the incident. Common lengths of operational periods are:
  - 4, 8, 12, or 24 hours depending on the nature and complexity of the incident and the working conditions such as weather, safety, and anticipated fatigue.
  - 2 to 4 hours for hazardous materials incidents.  
    (Instructor Note: Remind the students that this is just a suggestion and the final decision on the length of an operational period rests with the Incident Commander and is dependent upon the needs and hazards of the incident.)
  - Multiple days for relatively stable situations and recovery actions such as debris removal.

- Often, during the initial strategy meeting, the start times and end times for the operational period are established. As an example, for 12-hour periods, it may be 0600-1800. For some incidents, the starting time and duration of the operational period may have to be established at the planning meeting. There may be a need to fully integrate the results of the previous operational period before the next planning cycle can be established. This delay in establishing the operational period might be seen during the initial stages of an incident involving a hazardous materials release, where the results of the first entry might alter the approaches or need for subsequent entries.
The Planning Process

Who Does What?

**Command:** Develops incident objectives. Ensures Safety Analysis is completed. Approves IAP.

**Finance/Admin:** Conducts any needed cost analyses.

**Operations:** Establishes strategies and tactics to meet incident objectives.

**Planning:** Provides status reports, manages the planning process, and produces the IAP.

**Logistics:** Identifies the logistics requirements to support the tactics.

Instructor Notes: Present the following key points.

All Command and General Staff members have responsibilities for planning.

| Incident Commander | • Provides overall incident objectives and strategy.  
|                    | • Establishes procedures for incident resource ordering.  
|                    | • Establishes procedures for resource activation, mobilization, and employment.  
|                    | • Approves completed IAP by signature.  
|                    | With Safety Officer:  
|                    | • Reviews hazards associated with the incident and proposed tactical assignments. Assists in developing safe tactics.  
|                    | • Develops safety message(s).  

| Operations Section Chief | • Assists in identifying strategies.  
|                          | • Determines tactics to achieve incident objectives.  
|                          | • Determines work assignments and resource requirements.  
|                          | With Safety Officer:  
|                          | • Reviews hazards associated with the incident and proposed tactical assignments.  
|                          | • Assists in developing safe tactics.  

| Planning Section Chief | • Conducts the planning meeting.  
|                        | • Coordinates preparation and documentation of the IAP.  

| Logistics Section Chief | • Ensures that resource ordering procedures are communicated to appropriate agency ordering points.  
|                        | • Develops a transportation system to support operational needs.  
|                        | • Ensures that the Logistics Section can support the IAP.  
|                        | • Completes assigned portions of the written IAP.  
|                        | • Places order(s) for resources.  

| Finance/Admin. Section Chief | • Provides cost implications of incident objectives, as required.  
|                             | • Ensures that the IAP is within the financial limits established by the Incident Commander.  
|                             | • Evaluates facilities, transportation assets, and other contracted services to determine if any special contract arrangements are needed.  

STARTING EACH PLANNING CYCLE: ASSESSING INCIDENT OBJECTIVES

Instructor Notes: Present the following key points.

The previous unit presented the initial response process (see the “leg” of the Planning “P”). This unit focuses on the planning cycle process that covers each operational period.

- **IC/UC Objectives Meeting:** The Incident Command/Unified Command establishes incident objectives that cover the entire course of the incident. For complex incidents, it may take more than one operational period to accomplish the incident objectives.

  The cyclical planning process is designed to take the overall incident objectives and break them down into tactical assignments for each operational period. It is important that this initial overall approach to establishing incident objectives establish the course of the incident, rather than having incident objectives only address a single operational period.

- **Command and General Staff Meeting:** The Incident Command/Unified Command may meet with the Command and General Staffs to gather input or to provide immediate direction that cannot wait until the planning process is completed. This meeting occurs as needed and should be as brief as possible.

Refer to the large version of the Planning “P” on the next page.
• The leg of the “P” describes the initial response period: Once the incident/event begins, the steps are Notifications, Initial Response & Assessment, Incident Briefing Using ICS 201, and Initial Incident Command (IC)/Unified Command (UC) Meeting.

• At the top of the leg of the “P” is the beginning of the first operational planning period cycle. In this circular sequence, the steps are IC/UC Develop/Update Objectives Meeting, Command and General Staff Meeting, Preparing for the Tactics Meeting, Tactics Meeting, Preparing for the Planning Meeting, Planning Meeting, IAP Prep & Approval, and Operations Briefing.

• At this point a new operational period begins. The next step is Execute Plan & Assess Progress, after which the cycle begins again.
STARTING EACH PLANNING CYCLE: ASSESSING INCIDENT OBJECTIVES

Instructor Notes: Present the following key points.

Before each operational period begins, the incident objectives must be assessed and updated as needed.

Refer the participants to the following questions that appear on the visual:

- Is the incident stable, or is it increasing in size and complexity?
- What are the current incident objectives, strategy, and tactics?
  - Are there any safety issues?
  - Are the objectives effective? Is a change of course needed?
  - How long will it be until the objectives are completed?
- What is the current status of resources? Are resources in good condition? Are there sufficient resources?

Ask the participants if there are additional considerations they would add to those listed on the visual.

Note when immediate action is required, changes may be implemented prior to the issuance of the next written IAP.
The purpose of the tactics meeting is to review the strategy and tactics developed by the Operations Section Chief. This includes:
- Determining how the selected strategy or strategies will be accomplished in order to achieve the incident objectives.
- Assigning resources to implement the tactics.
- Identifying methods for monitoring tactics and resources to determine if adjustments are required (e.g., different tactics, different resources, or new strategy).
- The Operations Section Chief, Safety Officer, Planning Section Chief, Logistics Section Chief, and Resources Unit Leader attend the tactics meeting. Prior to this meeting, the General Staff take all needed steps to prepare by assessing current tactics and resources.
- The Operations Section Chief leads the tactics meeting. The ICS Form 215, Operational Planning Worksheet, and the ICS Form 215A, Incident Action Plan Safety Analysis, are used to document the tactics meeting.

Important Instructor Note: Emphasize that for less complex incidents, the tactics meeting may be an informal gathering of the key players. Throughout this lesson, make sure that the process is emphasized rather than the structure of meetings.
Instructor Notes: Present the following key points.

- **Incident objectives** state what is to be accomplished in the operational period.
- **Strategies** establish the general plan or direction for accomplishing the incident objectives.
- **Tactics** specify how the strategies will be executed.

The incident objectives can be found on the ICS Form 201 or ICS Form 202. The Incident Command/Unified Command establishes the incident objectives and overall strategies.

The Operations Section Chief translates the objectives and strategies into tactics.
Instructor Notes: Present the following key points.

- First, the Operations Section Chief generates alternative strategies to meet the incident objectives.

- Next, the Operations Section Chief selects a strategy (or strategies) that:
  - Is within acceptable safety norms.
  - Makes good sense (is feasible, practical, and suitable).
  - Is cost effective.
  - Is consistent with sound environmental practices.
  - Meets political considerations.
DETERMINING TACTICS

Instructor Notes: Present the following key points.

- Tactical direction describes what must be accomplished within the selected strategy or strategies in order to achieve the incident objectives. Tactical direction is the responsibility of the Incident Commander or the Operations Section Chief, if that position has been assigned.

- The Incident Commander or the Operations Section Chief gathers input from the Branch Directors and Division and/or Group Supervisors on alternative tactics. Gathering input is particularly important when the incident involves personnel from multiple disciplines. Jointly developed tactics can ensure understanding and enhance commitment.

- Tactical direction consists of the following steps:
  - Establish Tactics: Determine the tactics needed to implement the selected strategy. Typically, tactics are to be accomplished within an operational period. During more complex incidents, tactical direction should be stated in terms of accomplishments that can realistically be achieved within the timeframe currently being planned.
  - Assign Resources: Determine and assign the kind and type of resources appropriate for the selected tactics. Resource assignments will consist of the kind, type, and numbers of resources available and needed to achieve the tactical operations desired for the operational period.
  - Monitor Performance: Performance monitoring will determine if the tactics and resources selected for the various strategies are both valid and adequate.
Instructor Notes: Present the following key points.

- The **objective** is: Reduce reservoir level to 35 feet by 0800 on 2/10.

- Three possible **strategies** are identified and one is selected: Pump water from reservoir.

- The **tactics** for the selected strategy are: Use truck-mounted pumps working from the road into spillway, and portable pumps on the east side discharging into Murkey Creek.

Once the tactics have been selected, the next logical step is to determine what and how many resources will be needed to accomplish the tactics.
Instructor Notes: Present the following key points.

Ask the question: Why must personnel and logistical support factors be considered in determining tactical operations?

Ask for volunteers to answer the question. If not mentioned by the volunteers, add these points:

- Personnel and logistical support factors must be considered in determining tactical operations. Lack of logistical support can mean the difference between success and failure.

- If the required tactical resources will not be available, then an adjustment should be made to the tactics and operations being planned for the operational period. Lack of available resources could require a reassessment of tactics and perhaps the overall strategy.

- It is very important that tactical resource availability and other needed support be determined prior to investing time on strategies and tactical operations that realistically cannot be achieved.
Instructor Notes: Present the following key points.

The Cost Unit within the Finance/Administration Section provides all cost analysis, including cost-benefit analysis, for the organization. For example, the use of National Guard resources for transportation may be more expensive than contracting locally for the same resource.

**Ask the participants:** What are some factors that you consider when assessing the costs and benefits of proposed tactical assignments?

Ask for volunteers to answer the question. If not mentioned by the participants, add the following:

- What alternatives are available to accomplish the selected tactic?
- What are the estimated costs of these alternatives?
- What are the benefits of each alternative?
- Which of the alternatives has the highest cost-benefit ratio? (A ratio of 1:1 would indicate the cost of the alternative equals the benefits derived from using that alternative.)
Determining Tactics

Instructor Notes: Present the following key points.

The Operational Planning Worksheet is designed to document the results of the tactics meeting.

Refer to the sample ICS 215 on the next page in the Student Manual.
### Sample Operational Planning Worksheet, ICS Form 215

#### 1. Incident Name: Winter Storm

#### 2. Operational Period: Date From: 2/10

- Time From: 1800
- Date To: 2/11
- Time To: 0600

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Parking Lot Group</td>
<td>Remove snow from EOC, fire stations, police dept., and hospital parking lots. See maps for snow pile locations. 6” maximum accumulation.</td>
<td>Req. 4</td>
<td>4</td>
<td>Public Works Shop</td>
<td>1700</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Have 4</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Need 0</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Division A</td>
<td>Remove snow from all primary and secondary roads/streets in Div. Monitor all north/south roadways for drifting. 6”maximum accumulation.</td>
<td>Req. 3</td>
<td></td>
<td>Public Works Shop</td>
<td>1700</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Have 1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Need 2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sanding Group</td>
<td>Monitor ice for accumulation. Sand all 4-way stops and lighted intersections. Sand available at County Sand and Gravel storage.</td>
<td>Req. 4</td>
<td>2</td>
<td>Public Works Shop</td>
<td>1700</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Have 4</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Need 0</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| 11. Total Resources Required | 7 | 4 | 6 |
| 12. Total Resources Have on Hand | 5 | 4 | 5 |
| 13. Total Resources Need To Order | 2 | 0 | 1 |

**ICS 215**

**14. Prepared by:**

- Name: Sandy Miller
- Position/Title: Resources UL
- Signature: [Signature]
- Date/Time: Feb. 10/1100
Instructor Notes: Present the following key points.

The ICS Form 215, Operational Planning Worksheet:

- Is a planning tool used to assist in establishing resource needs for an operational period.
- Communicates the decisions made during the tactics meeting concerning resource assignments to the Resources Unit. The Resources Unit uses the worksheet to complete Assignment Lists (ICS Form 204s) and the Logistics Section Chief uses the worksheet for ordering resources for the incident.
- Is initiated prior to the planning meeting by the Incident Commander or the Operations Section Chief, who uses the worksheet to plan resource requirements for the next operational period.
- Reflects resources available for assignment during the next operational period (information provided by Resources Unit in Planning Section).
- Is used as a display during the Planning Meeting where it is finalized based on contributions from the Command and General Staffs.
- Provides information on:
  - Work assignments (Branch, Division, Group, or other).
  - Kind of resources needed.
  - Any specialized equipment or supplies that may be needed.
  - Reporting location.
  - Requested arrival time for additional resources.
  - Total number of resources that need to be ordered for the next operational period.

(Continued on the next page.)
DETERMINING TACTICS

Visual 5.21: Operational Planning Worksheet (ICS 215) (Continued)

By using the worksheet, planners can:

- Determine total resources required (for example: 25 personnel).
- Subtract the number on hand (for example: -12).
- Determine additional resources needed (for example: 13).

The ICS Form 215 can show graphically that span of control is within guidelines or has been exceeded as well as quickly help to identify surplus resources that may be released. Some agencies that regularly use the Planning Worksheet have prepared it in a larger format on various sizes of whiteboard. This makes the worksheet visible to a larger audience at planning meetings.

On larger incidents, the ICS Form 215 should always be used to determine what tactical resources are needed.
Instructor Notes: Present the following key points.

The worksheet provides an area to indicate:

- Operational period being planned, incident name, and the name and position of the person preparing the ICS 215 form.
- Kind of resources.
- Reporting location for resources.
- Requested arrival time of resources.

Remember: Resource typing is the description and categorization by capacity and/or capability of resources that are commonly exchanged in disasters via mutual aid.

Ask the participants if they have any questions about the elements included in the Operational Planning Worksheet.
The next step in the process is to prepare for the planning meeting.

The Planning Section coordinates preparations for the planning meeting, following the tactics meeting. These preparations include the following activities:

- Analyze the ICS 215 developed in the tactics meeting.
- Finalize the Incident Action Plan Safety Analysis (ICS 215A) completed by the Safety Officer.
- Assess current operations effectiveness and resource efficiency.
- Gather information to support incident management decisions.

Refer to the next page for a summary of responsibilities for preparing for the planning meeting.

Note: It is very important to complete the ICS 215A after the ICS 215 so that any safety concerns that are identified can be successfully mitigated.
### Preparing for the Planning Meeting: Responsibilities

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Incident Commander</strong></td>
<td>• Gives direction.</td>
</tr>
<tr>
<td></td>
<td>• Communicates.</td>
</tr>
<tr>
<td></td>
<td>• Manages.</td>
</tr>
<tr>
<td></td>
<td>• Does not get involved in details.</td>
</tr>
<tr>
<td><strong>Safety Officer</strong></td>
<td>• Identifies incident risks and hazards.</td>
</tr>
<tr>
<td></td>
<td>• Completes ICS Form 215A developed at the tactics meeting.</td>
</tr>
<tr>
<td></td>
<td>• Works with the Operations Section Chief on tactical safety issues.</td>
</tr>
<tr>
<td></td>
<td>• Identifies safety issues associated with incident facilities and nontactical activities, such as transportation and food service.</td>
</tr>
<tr>
<td><strong>Liaison Officer</strong></td>
<td>• Identifies cooperating and assisting agencies.</td>
</tr>
<tr>
<td></td>
<td>• Identifies special agency needs.</td>
</tr>
<tr>
<td></td>
<td>• Determines capabilities of cooperating and assisting agencies.</td>
</tr>
<tr>
<td></td>
<td>• Determines restrictions on participation of cooperating and assisting agencies.</td>
</tr>
<tr>
<td></td>
<td>• Confirms name and contact location of agency representatives.</td>
</tr>
<tr>
<td><strong>Public Information Officer</strong></td>
<td>• Assesses general media coverage to date.</td>
</tr>
<tr>
<td></td>
<td>• Identifies incident-related information issues that need to be explained or corrected with the media.</td>
</tr>
<tr>
<td></td>
<td>• Determines what Joint Information System (JIS) elements and procedures are in place.</td>
</tr>
<tr>
<td></td>
<td>• Determines process for development and approval of media releases and visits.</td>
</tr>
<tr>
<td><strong>Operations Section Chief</strong></td>
<td>• Continues to obtain good incident resource and status information.</td>
</tr>
<tr>
<td></td>
<td>• Communicates current information.</td>
</tr>
<tr>
<td></td>
<td>• Considers alternate strategies and determines probable tactics.</td>
</tr>
<tr>
<td></td>
<td>• Calculates resource requirements.</td>
</tr>
<tr>
<td></td>
<td>• Works with the Safety Officer and Planning Section staff to complete ICS Forms 215 and 215A developed at the tactics meeting.</td>
</tr>
<tr>
<td><strong>Planning Section Chief</strong></td>
<td>• Prepares incident maps and displays, as necessary.</td>
</tr>
<tr>
<td></td>
<td>• Develops information for the IAP.</td>
</tr>
<tr>
<td></td>
<td>• Develops situation status and predictions.</td>
</tr>
<tr>
<td></td>
<td>• Acquires information and ICS forms for the IAP.</td>
</tr>
<tr>
<td><strong>Logistics Section Chief</strong></td>
<td>• Determines service and support needs for the incident.</td>
</tr>
<tr>
<td></td>
<td>• Determines responder medical and rehabilitation needs.</td>
</tr>
<tr>
<td></td>
<td>• Determines incident communications needs.</td>
</tr>
<tr>
<td></td>
<td>• Confirms resource ordering process.</td>
</tr>
<tr>
<td><strong>Finance/ Administration Section Chief</strong></td>
<td>• Collects information on rental agreements and contracts.</td>
</tr>
<tr>
<td></td>
<td>• Determines potential and actual claims.</td>
</tr>
<tr>
<td></td>
<td>• Calculates incident costs to date.</td>
</tr>
<tr>
<td></td>
<td>• Develops cost-benefit analyses as requested.</td>
</tr>
</tbody>
</table>
PREPARING FOR THE PLANNING MEETING

Instructor Notes: Present the following key points.

Transition to the discussion of incident safety by asking participants: What are the most common hazards that responders face in the incidents you manage?

Point out that incident management must ensure the safety of the following:

- Responders to the incident.
- Persons injured or threatened by the incident.
- Volunteers assisting at the incident.
- News media and the general public who are on scene observing the incident.

Before the planning meeting, either the Safety Officer or Incident Commander must complete an analysis of the safety concerns related to the tactics and resources being deployed.
PREPARING FOR THE PLANNING MEETING

Instructor Notes: Present the following key points.

For discussion, ask the participants: Does your agency have aviation safety policies and procedures?

If not mentioned by the participants, add that aviation policies should address the following items:

- Payment amounts and contracts for rental aircraft.
- Federal Aviation Administration (FAA) license requirements and certifications.
- Pilot qualifications.
  
  Note: The U.S. Department of the Interior’s Office of Aircraft Services and the U.S. Department of Agriculture/Forest Service require substantially greater pilot and aircraft qualifications than does the FAA. For additional information see: www.oas.gov/source/source.htm
- Acquisition of aviation expertise when needed.
  
  Note: Most agencies do not conduct routine major air operations, so it is unlikely that they will have personnel trained to manage aviation tactical and support operations. Part of the resource pre-incident planning should include the identification of where you can acquire aviation management expertise when needed. Contact your State Aviation Officer and refer to the State and Regional Disaster Airlift (SARDA) plan for assistance. Other sources of expertise include the U.S. Coast Guard, National Guard Aviation Units, and State and Federal wildland management agencies.
PREPARING FOR THE PLANNING MEETING

Instructor Notes: Present the following key points.

Ask the participants: What steps would you use to identify potential incident safety concerns?

Ask for volunteers to answer the question. If not mentioned by the participants, add the following:

- Think of your personal observations and experience.
- Use a safety checklist or other aid.
- Communicate with incident personnel about safety concerns.
- Be aware of trends in the incident that may lead to hazards or safety concerns.
- Consult with local personnel who may be familiar with local hazards and safety issues.

Continue the discussion about safety by explaining that the Incident Safety Analysis is used to:

- Identify, prioritize, and mitigate the hazards and risks of each incident work location by operational period.
- Identify hazardous tactics so that alternatives may be considered.
- Determine the safety implications for the types of resources required.
PREPARING FOR THE PLANNING MEETING

Instructor Notes: Present the following key points.

A sample ICS Form 215A can be found on the next page.

The purpose of the Incident Action Plan Safety Analysis (ICS 215A) is to aid the Safety Officer in completing an operational risk assessment to prioritize hazards, safety, and health issues, and to develop appropriate controls. This worksheet addresses communication challenges between Planning and Operations, and is best utilized in the planning phase and for operations briefings.

The form provides information on:

- Incident work location(s).
- Risks such as weather, biohazard, hazardous materials, communications, flooding, special hazard areas, fatigue, driving hazards, dehydration, and critical incident stress.
- Mitigation measures. The mitigation measures identified may have implications for the resources entered on the ICS 215.
- Other logistical information such as date and time of the operational period, incident name, and the name and position of the person(s) preparing the form.

The objective of the Incident Action Plan Safety Analysis is to identify, prioritize, and mitigate the hazards and risks of each incident work location by operational period. The mitigation methods selected may affect the resources required for the incident work location. The Safety Analysis may also reveal that the proposed tactic is too hazardous to attempt and another tactic must be developed. The completed ICS 215A is displayed during the planning meeting.

When the Safety Analysis is completed, the form is distributed to the Resources Unit to help prepare the operations briefing. All completed original forms must be given to the Documentation unit.
### Sample Incident Action Plan Safety Analysis, ICS Form 215A

<table>
<thead>
<tr>
<th>1. Incident Name:</th>
<th>Winter Storm</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Incident Number:</td>
<td>xxxxxxxxxxxxxxxxxxxxxxxxx</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. Date/Time Prepared:</th>
<th>Date: Feb. 10 1100</th>
</tr>
</thead>
<tbody>
<tr>
<td>4. Operational Period:</td>
<td>Date From: 2/10 Date To: 2/11</td>
</tr>
<tr>
<td></td>
<td>Time From: 1800 Time To: 0600</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Division A</td>
<td>Extreme Weather, Driving</td>
<td>Drive with lights on, chain up before leaving for assignment. Maintain safe speed for conditions. Wear gloves and hat when working outside.</td>
</tr>
</tbody>
</table>

8. Prepared by (Safety Officer): Name: Pam Alice Signature: 
Prepared by (Operations Section Chief): Name: Dan Campbell Signature: 
ICS 215A Date/Time: Feb. 10/1100
Topic: Preparing for the Planning Meeting

ICS Form 215A, Incident Action Plan Safety Analysis

The Safety Officer or the Incident Commander should coordinate, develop, and approve an ICS Form 215A, Incident Action Plan Safety Analysis, for each operational period with the Operations Section Chief.

ICS Form 215A is a tool used by the Safety Officer as a concise way of identifying hazards and risks present in different areas of the incident and specific ways of mitigating those issues during an operational period.

The objective of the Incident Action Plan Safety Analysis is to identify and mitigate the hazards and risks of each incident work location by operational period. The mitigation methods selected may affect the resources required for the incident work location. The Safety Analysis may also reveal that the proposed tactic is too hazardous to attempt and another tactic must be developed.

ICS Form 215A, Incident Action Plan Safety Analysis, is used as a display during the Planning Meeting. It provides information on:
- Incident work location(s)
- Risk mitigations
- Date (daily) prepared by Operation Section Chief/Safety Officer and approved by Safety Officer

<table>
<thead>
<tr>
<th>Techniques for Identifying Hazards</th>
<th>Types of Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personal observation and/or experience</td>
<td>Traffic</td>
</tr>
<tr>
<td>Checklist</td>
<td>Confined space</td>
</tr>
<tr>
<td>Communication with incident personnel</td>
<td>Downhill fireline construction</td>
</tr>
<tr>
<td>Personnel</td>
<td>Air operations</td>
</tr>
<tr>
<td></td>
<td>Hazardous materials</td>
</tr>
<tr>
<td></td>
<td>Slip, trip, and fall</td>
</tr>
<tr>
<td></td>
<td>Weather</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Locations</th>
<th>Mitigation of Hazards</th>
</tr>
</thead>
<tbody>
<tr>
<td>Divisions</td>
<td>Use of personal protective equipment (PPE)</td>
</tr>
<tr>
<td>Groups</td>
<td>Proper clothing for inclement weather</td>
</tr>
<tr>
<td>Helibase</td>
<td>Reflective clothing and lights for nighttime or low-light operations</td>
</tr>
<tr>
<td>Staging Area</td>
<td>Maintain awareness of landing zones</td>
</tr>
<tr>
<td>Emergency Operations Center</td>
<td></td>
</tr>
<tr>
<td>Others</td>
<td></td>
</tr>
</tbody>
</table>
The planning meeting is the next step in the incident planning process.

- The planning meeting provides the opportunity for the Command and General Staffs, as well as other incident management personnel, agency officials, and cooperating/assisting agencies and organizations, to review and validate the operational plan as proposed by the Operations Section Chief.

- The Planning Chief leads the meeting following a fixed agenda to ensure that the meeting is efficient while allowing each organizational element represented to assess and acknowledge the plan.

- The Operations Section Chief delineates the amount and type of resources he or she will need to accomplish the plan. The Planning Section’s Resources Unit will have to work with the Logistics Section to fulfill the resource needs.

- At the conclusion of the meeting, the Planning Section Staff indicates when all elements of the plan and support documents must be submitted so the plan can be collated, duplicated, and made ready for the operations briefing.
CONDUCTING THE PLANNING MEETING

Instructor Notes: Present the following key points.

Present the following points to review the major planning meeting activities:

- The Planning Section Chief gives the situation and resources briefing and conducts the planning meeting.
- The Incident Commander states the incident objectives and policy issues.
- The Operations Section Chief states the primary and alternative strategies to meet the objectives, with contributions made by the Planning and Logistics Section Chiefs.
- The Operations Section Chief specifies reporting locations and additional facilities needed, with contributions from the Logistics Section Chief.
- The Planning and Logistics Section Chiefs develop the resources, support, and overhead orders. The Logistics Section Chief places the orders.
- The Logistics Section Chief considers additional support requirements needed for communications, traffic, safety, medical, etc., with contributions from the Operations and Planning Section Chiefs and the Safety Officer.
- The Planning Section Chief finalizes the IAP, the Incident Commander approves the IAP, and the General Staff implements the IAP.
CONDUCTING THE PLANNING MEETING

Instructor Notes: Present the following key points.

Appropriate displays can play a significant role in conducting an effective planning meeting. Displays should include the planning meeting agenda, large versions of the ICS Forms 215 and 215A, maps, the schedule for forms submission and additional meetings, and any other props needed to illustrate the IAP.

Optional Activity: Conduct a sample planning meeting for a planned event. The planned event could be a 4th of July celebration, VIP visit, or even getting ready for this training course. Ask the participants to participate in the meeting.
IAP PREPARATION AND APPROVAL

Instructor Notes: Present the following key points.

After the planning meeting is held, the following actions are taken to prepare the IAP:

- Organizational elements prepare IAP assignments and submit them to the Planning Section.

- The Planning Section collates, prepares, and duplicates the IAP document for the operations briefing. The Planning Section will:
  - Set the deadline for completing IAP attachments.
  - Obtain plan attachments and review them for completeness and approvals.
  - Determine the number of IAPs required.
  - Arrange with the Documentation Unit to reproduce the IAP.
  - Review the IAP to ensure it is up to date and complete prior to the operations briefing and plan distribution.
  - Provide the IAP briefing plan, as required, and distribute the plan prior to the beginning of the new operational period.

- The Resources Unit coordinates with the Logistics Section to acquire the amount and type of resources needed.

- The Incident Commander reviews and approves the IAP.
IAP PREPARATION AND APPROVAL

Instructor Notes: Present the following key points.

- The written IAP is a series of standard forms and supporting documents that convey the Incident Commander’s and the Operations Section’s directions for the accomplishment of the plan for that operational period.

- In some cases, the IAP includes a cover sheet to indicate which forms and supporting documents are included. The IAP Cover Sheet is not an ICS form; however, it is sometimes used to provide a quick overview of the contents of the IAP. The cover sheet may also serve as a checklist to indicate which forms and supporting documents are enclosed as part of the IAP.

- The job aid on the next pages summarizes the purpose of the ICS forms and supporting documents including:
  - IAP Cover Sheet (not an ICS form)
  - ICS 202, Incident Objectives
  - ICS 203, Organization Assignment List
  - ICS 204, Assignment List
  - ICS 205, Incident Communications Plan
  - ICS 206, Incident Medical Plan
  - Safety Messages, Maps, Forecasts (not ICS forms)

The following visuals provide a more detailed explanation of these forms and supporting documents.
### ICS Forms

ICS uses a series of standard forms and supporting documents that convey directions for the accomplishment of the objectives and distributing information. Listed below are the standard ICS form titles and descriptions of each form:

<table>
<thead>
<tr>
<th>Standard Form Title</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Incident Briefing ICS 201</td>
<td>Provides the Incident Command/Unified Command and General Staffs with basic information regarding the incident situation and the resources allocated to the incident. This form also serves as a permanent record of the initial response to the incident.</td>
</tr>
<tr>
<td>Incident Objectives ICS 202</td>
<td>Describes the basic strategy and objectives for use during each operational period.</td>
</tr>
<tr>
<td>Organization Assignment List ICS 203</td>
<td>Provides information on the response organization and personnel staffing.</td>
</tr>
<tr>
<td>Assignment List ICS 204</td>
<td>Used to inform personnel of assignments. After Incident Command/Unified Command approves the objectives, staff members receive the assignment information contained in this form.</td>
</tr>
<tr>
<td>Incident Radio Communications Plan ICS 205</td>
<td>Provides, in one location, information on the assignments for all radio communications equipment for each operational period. The plan is a summary of information. Information from the Incident Communications Plan on frequency assignments can be placed on the appropriate Assignment form (ICS Form 204).</td>
</tr>
<tr>
<td>Communications List ICS 205A</td>
<td>Records methods of contact for incident personnel. While the Incident Radio Communications Plan (ICS 205) is used to provide information on all radio frequencies down to the Division/Group level, the ICS 205A indicates all methods of contact for personnel assigned to the incident (radio frequencies, phone numbers, pager numbers, etc.), and functions as an incident directory.</td>
</tr>
<tr>
<td>Medical Plan ICS 206</td>
<td>Provides information on incident medical aid stations, transportation services, hospitals, and medical emergency procedures.</td>
</tr>
<tr>
<td>Incident Organization Chart ICS 207</td>
<td>Provides a visual wall chart depicting the ICS organization position assignments for the incident.</td>
</tr>
<tr>
<td>Incident Status Summary ICS 209</td>
<td>Summarizes incident information for staff members and external parties, and provides information to the Public Information Officer for preparation of media releases.</td>
</tr>
<tr>
<td>Incident Status Change ICS 210</td>
<td>Used by the Incident Communications Center Manager to record status change information received on resources assigned to the incident. This information could be transmitted with a General Message (ICS 213). The form could also be used by Operations as a worksheet to track entry, etc.</td>
</tr>
</tbody>
</table>
## IAP Preparation and Approval

**Visual 5.32: Forms and Supporting Documents: Overview** (Continued)

### ICS Forms

<table>
<thead>
<tr>
<th>Standard Form Title</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Check-In List ICS 211</td>
<td>Used to check in personnel and equipment arriving at the incident. Check-in consists of reporting specific information that is recorded on the form.</td>
</tr>
</tbody>
</table>
| General Message ICS 213 | Used by:  
- Incident dispatchers to record incoming messages that cannot be orally transmitted to the intended recipients.  
- EOC and other incident personnel to transmit messages via radio or telephone to the addressee.  
- Incident personnel to send any message or notification that requires hard-copy delivery to other incident personnel. |
| Unit Log ICS 214 | Provides a record of unit activities. Unit Logs can provide a basic reference from which to extract information for inclusion in any after-action report. |
| Operational Planning Worksheet ICS 215 | Documents decisions made concerning resource needs for the next operational period. The Planning Section uses this worksheet to complete Assignment Lists, and the Logistics Section uses it for ordering resources for the incident. This form may be used as a source document for updating resource information on other ICS forms such as the ICS 209. |
| Incident Action Plan Safety Analysis ICS 215A | Communicates to the Operations and Planning Section Chiefs safety and health issues identified by the Safety Officer. |
| Support Vehicle/Equipment Inventory ICS 218 | Provides an inventory of all transportation and support vehicles and equipment assigned to the incident. |
| Air Operations Summary ICS 220 | Provides information on air operations including the number, type, location, and specific assignments of helicopters and fixed-wing aircraft. |
| Demobilization Check-Out ICS 221 | Ensures that resources checking out of the incident have completed all appropriate incident business, and provides the Planning Section information on resources released from the incident. |
IAP PREPARATION AND APPROVAL

Instructor Notes: Present the following key points.

- The Incident Commander makes the final determination regarding which ICS forms, documents, and attachments will be included in the IAP.

- On less complex incidents, the Incident Commander may only require the Incident Objectives (ICS 202), Organization Assignment List (ICS 203), Assignment List (ICS 204), a Safety Message, and a map of the incident area.
Instructor Notes: Present the following key points.

The Incident Objectives, ICS Form 202, includes incident information, a listing of the incident objectives for the operational period, a general situational awareness message (including pertinent weather information), a brief summary of the command emphasis, and a table of contents for the plan.
Instructor Notes: Present the following key points.

Note the following information on the Incident Objectives, ICS Form 202:

- A situational awareness message is included.
- Both the Planning Section Chief and Incident Commander indicate approval with their signatures.
- A list of attachments is included.
### 1. Incident Name:
Winter Storm

### 2. Operational Period:
- **Date From:** Feb. 10
- **Date To:** Feb. 11
- **Time From:** 1800
- **Time To:** 0600

### 3. Objective(s):
1. Provide for responder safety through adherence to agency policies and SOPs during the incident duration.
2. Provide for public safety by excluding the public from work areas at all times.
3. Keep primary snow routes open at all times.
4. Plow and sand access routes to critical facilities to include hospitals, fire stations, airport, police department, and courthouse on a continuous basis.
5. Plow parking lots at critical facilities on a continuous basis.

### 4. Operational Period Command Emphasis:
Place special emphasis on maintaining the primary routes to provide access for emergency vehicles and be prepared to assist emergency vehicles if road conditions worsen.

### General Situational Awareness
Winter storm warning continues. Snow level at sea level, 10-12” accumulations possible, accompanied by high winds and drifting. See attached forecast. Driving extremely hazardous. Lights on and chains required. Wear high-visibility clothing, hat, and gloves when outside vehicle.

### 5. Site Safety Plan Required?  Yes ☐  No ☒
**Approved Site Safety Plan(s) Located at:**

### 6. Incident Action Plan (the items checked below are included in this Incident Action Plan):
- [ ] ICS 203
- [ ] ICS 204
- [ ] ICS 205
- [ ] ICS 205A
- [ ] ICS 206
- [ ] ICS 207
- [ ] ICS 208
- [ ] Map/Chart
- [ ] Weather Forecast/Tides/Currents
- [ ] Other Attachments:
  - 

### 7. Prepared by:
- **Name:** Walker Wetzel
- **Position/Title:** PSC
- **Signature:**

### 8. Approved by Incident Commander:
- **Name:** Jerry Franklin
- **Signature:**

---

ICS 202  IAP Page _____  Date/Time: Feb. 10, 1100
Instructor Notes: Present the following key points.

The Organization Assignment List, ICS Form 203, provides a full accounting of incident management and supervisory staff for that operational period.

Ask the participants why they think it is important to have a list of management and supervisory staff on one single form.

Refer the participants to the sample Organization Assignment List on the next page.
## Sample Organization Assignment List, ICS Form 203

| 1. Incident Name: | Winter Storm |
| 2. Operational Period: | Date From: Feb. 10  
Time From: 1800  
Date To: Feb. 11  
Time To: 0600 |

### 3. Incident Commander(s) and Command Staff:  
- **IC/UCs**: Jerry Franklin  
- **Deputy**:  
- **Safety Officer**: Pam Alice  
- **Public Info. Officer**:  
- **Liaison Officer**:  

### 7. Operations Section:  
- **Chief**: Dan Campbell  
- **Deputy**:  
- **Staging Area**: Branch  
- **Branch Director**:  

### 4. Agency/Organization Representatives:  
- **Division/Group A**: Bill Hood  
- **Division/Group B**: Andy Montoya  
- **Division/Group C**: Jose Gomez  
- **CCPW**: Martha Gilsford cell: xxx-xxxx  
- **SDOT**: Mike Andrews cell: xxx-xxxx  
- **Branch**: Parking Lot  
- **Jill Anderson**:  

### 5. Planning Section:  
- **Chief**: Walker Wetzel  
- **Deputy**:  
- **Resources Unit**: Karen Fry  
- **Situation Unit**: Linda Tom  
- **Documentation Unit**: Wilson Parks  
- **Branch Director**:  

### 6. Logistics Section:  
- **Chief**: Sherrie Hillman  
- **Deputy**:  
- **Air Operations Branch**: Air Ops Branch Dir.  
- **Supply Unit**: Jon Carter  
- **Facilities Unit**:  
- **Ground Support Unit**: Jessica Martinez  
- **Service Branch**:  
- **Director**:  
- **Communications Unit**: Mike Walters  
- **Medical Unit**:  
- **Food Unit**:  
- **Time Unit**:  
- **Procurement Unit**: Sara White  
- **Comp/Claims Unit**:  
- **Cost Unit**:  

### 9. Prepared by:  
- **Name**: Karen Fry  
- **Position/Title**: Resources Unit  
- **Signature**:  

---

ICS 203  
IAP Page _____  
Date/Time: Feb. 10/1300
Instructor Notes: Present the following key points.

- The Assignment List, ICS Form 204, is based on the organizational structure of the Operations Section for the operational period.

- Each Division or Group will have its own page. This page will list who is supervising the Division or Group, to include Branch Director if assigned.

(Continue to the next visual.)
Instructor Notes: Present the following key points.

The Assignment List includes specific assigned resources with leader name and number of personnel assigned to each resource.
IAP PREPARATION AND APPROVAL

Instructor Notes: Present the following key points.

The Assignment List describes in detail the specific actions that the Division or Group will be taking in support of the overall incident objectives. Any special instructions will be included as well as the elements of the Communications Plan that apply to that Division or Group.
Instructor Notes: Present the following key points.

Communications assignments are specified on the Assignment List. Summarize by noting that information from several forms is integrated on the Assignment List in order to inform members of the Operations Section about assignments, instructions, and communication protocols/frequencies.

Ask the participants how they would communicate these same elements if an ICS Form 204 is not used.

Refer the participants to the sample Assignment List on the next page.
## Sample Assignment List, ICS Form 204

### 1. Incident Name:
Winter Storm

### 2. Operational Period:
- **Date From:** Feb. 10
- **Date To:** Feb. 11
- **Time From:** 1800
- **Time To:** 0600

### 3. Branch:

### 4. Operations Personnel:
- **Name:**
  - Operations Section Chief: Dan Campbell
  - Branch Director:
  - Division/Group Supervisor: Andy Anderson

### 5. Resources Assigned:

<table>
<thead>
<tr>
<th>Resource Identifier</th>
<th>Leader</th>
<th># of Persons</th>
<th>Reporting Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>TF #1</td>
<td>Carl Wills</td>
<td>3</td>
<td>City/County Channel 6J Operations</td>
</tr>
<tr>
<td>Plow #15</td>
<td></td>
<td></td>
<td>xxx-xxx-xxxx</td>
</tr>
<tr>
<td>Loader #2</td>
<td>Don Anioti</td>
<td></td>
<td>DPW Shop</td>
</tr>
<tr>
<td></td>
<td>Tony Gossard</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TF #2</td>
<td>Paul Jones</td>
<td>3</td>
<td>City/County Channel 6J Operations</td>
</tr>
<tr>
<td>Plow #2</td>
<td>Walker Wetzel</td>
<td></td>
<td>City/County Channel 6J Operations</td>
</tr>
<tr>
<td>Loader #7</td>
<td>Mark Drew</td>
<td></td>
<td>City/County Channel 6J Operations</td>
</tr>
<tr>
<td>TF #3</td>
<td>Greg Carpenter</td>
<td>3</td>
<td>City/County Channel 6J Operations</td>
</tr>
<tr>
<td>Plow #10</td>
<td>Bob Smith</td>
<td></td>
<td>City/County Channel 6J Operations</td>
</tr>
<tr>
<td>Loader #4</td>
<td>Larry Little</td>
<td></td>
<td>City/County Channel 6J Operations</td>
</tr>
<tr>
<td>TF #4</td>
<td>Barry Parish</td>
<td>3</td>
<td>City/County Channel 6J Operations</td>
</tr>
<tr>
<td>Plow #8</td>
<td>Drew Dietz</td>
<td></td>
<td>City/County Channel 6J Operations</td>
</tr>
<tr>
<td>Loader #6</td>
<td>John Miller</td>
<td></td>
<td>City/County Channel 6J Operations</td>
</tr>
</tbody>
</table>

### 6. Work Assignments:
- TF #1 – Maintain EOC, Stations 1, 2, and Police Station
- TF #2 – Maintain Stations 3, 4, and 5
- TF #3 – Maintain Stations 6, 7, and Hospital
- TF #4 – Staging at Shop
- Task Force 3 use “Lot Closed” signs when plowing hospital parking lots.

### 7. Special Instructions:
See site maps for snow pile locations. Maintain less than 6” accumulation. If snowfall exceeds capability, request additional resources through Ops. Exercise extreme caution when operating machinery. Visibility will be very poor. Wear high visibility clothing, hat, and gloves. Lunches will be delivered to Fire Stations 1, 3, and 6 at 2400. Watch for signs of hypothermia.

### 8. Communications
- **Name/Function:**
- **Primary Contact:** indicate cell, pager, or radio
  - **Command / Local Repeat:** Freq: 800 mHz; Chan: 2J
  - **Support / Local Repeat:** Freq: 800 mHz; Chan: 3J
- **Div./Group Tactical /** Freq: 800 mHz; Chan: 6J
- **Ground to Air**

### 9. Prepared by:
- **Name:** Karen Fry
- **Position/Title:** Resource Unit Leader
- **Signature:**

---

**ICS 204** | **IAP Page _____** | **Date/Time:** Feb. 10/1500
IAP PREPARATION AND APPROVAL

Instructor Notes: Present the following key points.

The Incident Communications Plan, ICS Form 205, summarizes the communications plan for the entire incident.

**Ask the participants why a communications plan is important.**

If not mentioned by the participants, add that a communications plan allows for integrated communications and interoperability among all responders.

Note that while it is beyond the scope of this course to provide detailed training on communications planning, a quick and easy planning process includes the following steps:

1. First provide communications between the Incident Commander and the Operations Section Chief.

2. Next, provide communications starting with the Division, Group, or resource with the most hazardous tactical operation. Then work through the Operations Section until you have ensured that all tactical resources have needed communications.

3. After meeting the tactical communications needs, ensure that the Planning Section (resource status function) and Logistics (resource ordering function) have communications.

4. Depending on the availability of communications assets, supply additional support personnel with cell phones or other nontactical radio communications.

Refer to the sample Communications Plan on the next page in their Student Manuals.
## Sample Incident Communications Plan, ICS Form 205

1. **Incident Name:** Winter Storm
2. **Date/Time Prepared:**
   - Date: Feb. 10
   - Time: 1300
3. **Operational Period:**
   - Date From: Feb. 10
   - Date To: Feb. 11
   - Time From: 1800
   - Time To: 0600

### 4. Basic Radio Channel Use:

<table>
<thead>
<tr>
<th>Zone Grp.</th>
<th>Ch #</th>
<th>Function</th>
<th>Channel Name/Trunked Radio System Talkgroup</th>
<th>Assignment</th>
<th>RX Freq N or W</th>
<th>RX Tone/NAC</th>
<th>TX Freq N or W</th>
<th>TX Tone/NAC</th>
<th>Mode (A, D, or M)</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>2J</td>
<td></td>
<td>Command</td>
<td>Command and Operations</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>silence, guard, command and operations</td>
</tr>
<tr>
<td>6J</td>
<td></td>
<td>Operations</td>
<td>Parking Lot Group</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4J</td>
<td></td>
<td>Operations</td>
<td>Sanding Group</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8J</td>
<td></td>
<td>Operations</td>
<td>Divisions A and B</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9J</td>
<td></td>
<td>Operations</td>
<td>Divisions C and D</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3J</td>
<td></td>
<td>Planning and Logistics</td>
<td>Resource Status Changes and Resource Orders</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

5. **Special Instructions:**
Use extreme caution when answering radio calls while operating equipment. The use of cell phones while operating is prohibited. Report any problems with radios to the Logistics Section.

6. **Prepared by** (Communications Unit Leader):
   - Name: Mike Walters
   - Signature: [Signature]

ICS 205    IAP Page ____  Date/Time: Feb. 10/1300
Instructor Notes: Present the following key points.

The Medical Plan, ICS Form 206, presents the plan for providing care in the case of responder medical emergencies.

Ask the participants for examples of types of incidents where they would complete a Medical Plan. Add any examples from your own experience.

Refer to the sample Medical Plan on the next page.
# Sample Medical Plan, ICS Form 206

## 1. Incident Name:
Winter Storm

## 2. Operational Period:
- **Date From:** Feb. 10
- **Date To:** Feb. 11
- **Time From:** 1800
- **Time To:** 0600

## 3. Medical Aid Stations:

<table>
<thead>
<tr>
<th>Name</th>
<th>Location</th>
<th>Contact Number(s)/Frequency</th>
<th>Paramedics on Site?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fire Station 1</td>
<td>1171 5th Avenue</td>
<td>xxx-xxx-xxxx</td>
<td>☑ Yes ☐ No</td>
</tr>
<tr>
<td>Fire Station 2</td>
<td>950 Bellingham Way</td>
<td>xxx-xxx-xxxx</td>
<td>☑ Yes ☐ No</td>
</tr>
<tr>
<td>Fire Station 4</td>
<td>2100 Main</td>
<td>xxx-xxx-xxxx</td>
<td>☑ Yes ☐ No</td>
</tr>
<tr>
<td>Fire Station 6</td>
<td>4700 N. 12th Ave</td>
<td>xxx-xxx-xxxx</td>
<td>☑ Yes ☐ No</td>
</tr>
<tr>
<td>Fire Station 7</td>
<td>170 West Oakdale</td>
<td>xxx-xxx-xxxx</td>
<td>☑ Yes ☐ No</td>
</tr>
</tbody>
</table>

## 4. Transportation (indicate air or ground):

<table>
<thead>
<tr>
<th>Ambulance Service</th>
<th>Location</th>
<th>Contact Number(s)/Frequency</th>
<th>Level of Service</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ ALS ☐ BLS</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ ALS ☐ BLS</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ ALS ☐ BLS</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ ALS ☐ BLS</td>
</tr>
</tbody>
</table>

## 5. Hospitals:

<table>
<thead>
<tr>
<th>Hospital Name</th>
<th>Address, Latitude &amp; Longitude if Helipad</th>
<th>Contact Number(s)/Frequency</th>
<th>Travel Time</th>
<th>Trauma Center</th>
<th>Burn Center</th>
<th>Helipad</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Air</td>
<td>Ground</td>
<td>☑ Yes</td>
<td>☑ Yes</td>
</tr>
<tr>
<td>Meridian</td>
<td>500 W. Oakdale</td>
<td>xxx-xxx-xxxx</td>
<td>15</td>
<td>45</td>
<td>☑ No</td>
<td>☑ No</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>☑ Yes</td>
<td>☑ No</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>☑ Yes</td>
<td>☑ No</td>
</tr>
</tbody>
</table>

## 6. Special Medical Emergency Procedures:

Minor injuries will be treated at closest Medical Aid/Fire Station.

Major injuries call 911 for assistance.

Any injury received on the job requires notification to immediate incident supervisor, Operations Section Chief, IC and Safety Officer and completion of Accident/Injury Form 104 A & B.

☐ Check box if aviation assets are utilized for rescue. If assets are used, coordinate with Air Operations.

## 7. Prepared by (Medical Unit Leader):
- **Name:** Sherrie Hillman
- **Signature:**

## 8. Approved by (Safety Officer):
- **Name:** Pam Alice
- **Signature:**

**Date/Time:** Feb. 10/1530
Instructor Notes: Present the following key points.

Additional supporting documents include the following:

- Safety messages
- Detailed weather forecasts
- Incident traffic plan, showing ingress and egress routes for resources
- Other important information for operational supervisors
ACTIVITY: ANALYZING AN IAP

Instructor Notes: Present the following key points.

Present the following instructions to the participants:

1. The purpose of this activity is to help you prepare for developing an IAP. Working as a team, review the sample Incident Action Plan in your Student Manual.
2. Complete the following steps:
   - Independently read the sample IAP for a cruise ship accident. Make notes about the format and contents, using the information provided in this unit to help you critique the plan.
   - As a team, discuss the strengths and weaknesses of the sample plan.
   - On chart paper, record your comments on the strengths and weaknesses of the plan.
3. Select a spokesperson and be prepared to present your work in 30 minutes.

Debrief: Monitor the time. After 30 minutes, call time. Conduct the activity debrief as follows:

1. Ask the spokesperson from the first team to present one strength and weakness about the plan.
2. Next, ask the spokesperson from the second team to present a different strength and weakness. Then, ask the spokesperson from the third team to present a different strength and weakness. Continue this process until all teams have presented.
3. After all teams have presented, ask if any teams have strengths and weaknesses not mentioned thus far. Add the following points if not mentioned by the teams:
   - Strengths: Good safety message; Effective use of resource typing; Comprehensive communications plan.
   - Weaknesses: No map; Extensive use of acronyms; Objectives and operations could be more specific; Medical plan is very general.
### Sample IAP (Page 1 of 9)

**INCIDENT OBJECTIVES (ICS 202)**

<table>
<thead>
<tr>
<th>1. Incident Name:</th>
<th>Cruise Ship HazMat Spill</th>
</tr>
</thead>
</table>
| 2. Operational Period: | Date From: Aug 19  
Time From: 0600 | Date To: Aug 19  
Time To: 1800 |

#### 3. Objective(s):
- Assist the cruise line and the USCG in ensuring that there are no injuries to the ship’s crew, nor to any of the incident responders.
- Assist the USCG in preventing the discharge of any further hazardous materials into the water and contain any spilled materials; plan for contingencies.
- Assess and document the potential for environmental damage should there be a further discharge of hazardous materials from the cruise ship. Plan for contingencies.
- Prevent damage to natural and cultural resources.
- Assist the USCG and cruise line in arranging and carrying out the safe passage of the ship out of the bay and out of the Park.

#### 4. Operational Period Command Emphasis:
Maintain vigilance to avoid injuries or further environmental damage.

**General Situational Awareness**

(See attached Safety Message)

A moderate low pressure system is moving southerly from the Anchorage area and is expected to be in the Glacier Bay area by noon today.

- Temperature: 60 to 65 degrees
- Relative Humidity: 60 to 75%
- Winds: west @ 10 to 18 knots
- Seas: 3-foot swells with moderate to heavy chop
- Sunrise: 0534 AKDT; Sunset: 2040 AKDT
- Tides: Highs at 0256 (+18.7) and 1526 (+18.8); Lows at 0921 (-3.3) and 2143 (-1.8)

#### 5. Site Safety Plan Required?  
Yes ☒ No ☐

**Approved Site Safety Plan(s) Located at:**

#### 6. Incident Action Plan (the items checked below are included in this Incident Action Plan):

| ☒ ICS 203 | ☐ ICS 207 |
| ☒ ICS 204 | ☒ ICS 208 |
| ☒ ICS 205 | ☒ Map/Chart |
| ☐ ICS 205A | ☒ Weather Forecast/Tides/Currents |
| ☒ ICS 206 | |

**Other Attachments:**

- ☒ Safety Message
- ☐ ☐ ☐

#### 7. Prepared by:
Name: Walker Wetzel  
Position/Title: PSC  
Signature: 

#### 8. Approved by Incident Commander:
Name: Jerry Franklin  
Signature: 

ICS 202  
IAP Page ___1___ 
Date/Time: 08-19-XX/0200
### ORGANIZATION ASSIGNMENT LIST (ICS 203)

#### 1. Incident Name:
- **Cruise Ship HazMat Spill**

#### 2. Operational Period:
- **Date From:** Aug 19
- **Date To:** Aug 19
- **Time From:** 0600
- **Time To:** 1800

#### 3. Incident Commander(s) and Command Staff:
- **IC/UCs**
  - Jerry Franklin
  - Xxx Unified Command

- **Chief**
- **Deputy**
- **Staging Area**

- **Safety Officer**
  - Pam Alice

- **Public Info. Officer**
  - IOF2

- **Liaison Officer**

#### 4. Agency/Organization Representatives:
- **Division/Group**
  - **Name**
  - **Vessel Stabilization**
    - Aaron Brandon (USCG)
  - **Nat. Resc. Assessment**
    - Carol Cartright (NPS)
  - **Salvage/Removal**
    - Tyrone Pickerell (USCG)
  - **Branch**
  - **Director**
  - **Deputy**

#### 5. Planning Section:
- **Chief**
  - Walker Wetzel
- **Deputy**
- **Resources Unit**
- **Situation Unit**
- **Documentation Unit**
- **Demobilization Unit**
- **Technical Specialists**
  - **Oil Spill**
    - Cordell Royball
  - **Investigator**
    - Russ Williams
    - John Collingsworth

#### 6. Logistics Section:
- **Chief**
  - Sherrie Hillman
- **Deputy**
- **Air Operations Branch**
  - **Support Branch**
    - Air Ops Branch Dir.
  - **Facilities Unit**
  - **Ground Support Unit**
  - **Service Branch**
    - **Director**
    - Rick Lewin
    - LaVell Patton

#### 7. Operations Section:
- **Chief**
- **Deputy**
- **Branch**
- **Director**
- **Deputy**

#### 8. Finance/Administration Section:
- **Chief**
  - FSC2
- **Deputy**
- **Time Unit**
- **John Wayne**
- **Procurement Unit**
- **Comp/Claims Unit**
| 1. Incident Name: Cruise Ship HazMat Spill | 2. Operational Period: Date From: Aug 19  
Time From: 0600 | Date To: Aug 19  
Time To: 1800 |
|------------------------------------------|-----------------------|-----------------------|
| 9. Prepared by: Name: Walker Wetzel  
Position/Title: PSC | Signature: |
| ICS 203 | IAP Page __2__ | Date/Time: 08-19-XX/0200 |
### ASSIGNMENT LIST (ICS 204)

#### 1. Incident Name:
Cruise Ship HazMat Spill

#### 2. Operational Period:
- **Date From:** 08/19/XX
- **Date To:** 08/19/XX
- **Time From:** 0600
- **Time To:** 1800

#### 3. Branch:

#### Division:

#### Group:
Vessel Stabilization

#### Staging Area:

#### 4. Operations Personnel:

<table>
<thead>
<tr>
<th>Name</th>
<th>Contact Number(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operations Section Chief</td>
<td>Dan Campbell Channel 1</td>
</tr>
<tr>
<td>Branch Director</td>
<td></td>
</tr>
<tr>
<td>Division/Group Supervisor</td>
<td>Aaron Brandon (USCG) Channel 5</td>
</tr>
</tbody>
</table>

#### 5. Resources Assigned:

<table>
<thead>
<tr>
<th>Resource Identifier</th>
<th>Leader</th>
<th># of Persons</th>
<th>Contact (e.g., phone, pager, radio frequency, etc.)</th>
<th>Reporting Location, Special Equipment and Supplies, Remarks, Notes, Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Boom operations</td>
<td>Joe Watson</td>
<td>3</td>
<td>xxx-xxx-xxxx</td>
<td>Shag Cove/0730 BC Docks/0600</td>
</tr>
<tr>
<td>Pump operations</td>
<td>Ward Pecard</td>
<td>3</td>
<td>xxx-xxx-xxxx</td>
<td>Shag Cove/0730 BC Docks/0600</td>
</tr>
<tr>
<td>Radio crew</td>
<td>Jason Shep</td>
<td>2</td>
<td>xxx-xxx-xxxx</td>
<td>Shag Cove/0730 BC Docks/0600</td>
</tr>
</tbody>
</table>

#### 6. Work Assignments:

-- Assist the Coast Guard and the ship’s crew in insuring the safety of the crew by assuring that everyone wears prescribed safety equipment and crew is not directly exposed to hazardous or toxic materials.

-- Assist the Communications Unit Leader with the installation of a radio repeated.

-- Maintain boom material currently in place. Assure that it continues to contain hazardous materials.

-- Operate pumps on board the YC to continue to reduce flooded compartments.

-- Prevent, if possible, the discharge of any additional hazardous materials into the bay waters.

#### 7. Special Instructions:
Complete a Unit Log. Debrief at the end of the operational period.

#### 8. Communications (radio and/or phone contact numbers needed for this assignment):

<table>
<thead>
<tr>
<th>Name/Function</th>
<th>Primary Contact: indicate cell, pager, or radio (frequency/system/channel)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Command / Local</td>
<td>Freq: 166.200; System: NIFC; Chan: 1</td>
</tr>
<tr>
<td>Command / Repeat</td>
<td>Freq: 166.500; System: NIFC; Chan: 5</td>
</tr>
<tr>
<td>Status/Logistics / Local</td>
<td>Freq: 157.10; System: GLBA; Chan: 3</td>
</tr>
<tr>
<td>Status/Logistics / Repeat</td>
<td>Freq: 166.500; System: NIFC; Chan: 5</td>
</tr>
<tr>
<td>Group Tactical / On YC</td>
<td>Freq: 168.825; System: GLBA; Chan: 2</td>
</tr>
<tr>
<td>Group Tactical / W/ USCG</td>
<td>Freq: 157.100; System: GLBA; Chan: 6</td>
</tr>
<tr>
<td>Ground to Air</td>
<td>Freq: 168.575; System: GLBA; Chan: 8</td>
</tr>
</tbody>
</table>

#### 9. Prepared by:
Name: Walker Wetzel
Position/Title: PSC
Signature: [Signature]

ICS 204 IAP Page ___ Date/Time: 08/09/XX, 0200
1. Incident Name: Cruise Ship HazMat Spill
2. Operational Period: Date From: 08/19/XX  Date To: 08/19/XX
   Time From: 0600  Time To: 1800
3. Branch: 
4. Operations Personnel:
   Name: Dan Campbell  Contact Number(s): Channel 11 & Channel 1
   Branch Director: Carol Cartright  Contact Number(s): Channel 11 & Channel 1
5. Resources Assigned:

<table>
<thead>
<tr>
<th>Resource Identifier</th>
<th>Leader</th>
<th># of Persons</th>
<th>Contact (e.g., phone, pager, radio frequency, etc.)</th>
<th>Reporting Location, Special Equipment and Supplies, Remarks, Notes, Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Biotech Team 1</td>
<td>Bud Ricer</td>
<td>2</td>
<td>Channel 11</td>
<td>Shag Cove/0730 BC Docks/0600</td>
</tr>
<tr>
<td>NR Planning</td>
<td>Gail Irvington</td>
<td>3</td>
<td>Channel 11</td>
<td>Gustavis Airport/ 1100 Gustavis Airport/ 0700</td>
</tr>
<tr>
<td>Biotech Team 2</td>
<td>Steve Taggart</td>
<td>2</td>
<td>Channel 11</td>
<td></td>
</tr>
</tbody>
</table>

6. Work Assignments:
- Develop contingency plans for the following:
  - Fuel spill while the vessel remains in Shag Cove.
  - Fuel spill during the movement of the vessel from Shag Cove out of the park.
  - Fuel spill in Bartlett Cove if the vessel is stored there.
  - Catastrophic structural failure of the vessel resulting in it sinking.
- Conduct ground survey of Shag Cove shore to determine extent, if any, that hazardous materials are reaching shore.
- Conduct aerial survey of the bay; map bird concentrations.

7. Special Instructions:
- Complete a Unit Log. Debrief at the end of operational period.

8. Communications (radio and/or phone contact numbers needed for this assignment):

<table>
<thead>
<tr>
<th>Name/Function</th>
<th>Primary Contact: indicate cell, pager, or radio (frequency/system/channel)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Command</td>
<td>Freq: 166.200; System: NIFC; Chan: 1</td>
</tr>
<tr>
<td>Command</td>
<td>Freq: 166.500; System: NIFC; Chan: 5</td>
</tr>
<tr>
<td>Status/Logistics</td>
<td>Freq: 157.10; System: GLBA; Chan: 3</td>
</tr>
<tr>
<td>Status/Logistics</td>
<td>Freq: 166.500; System: NIFC; Chan: 5</td>
</tr>
<tr>
<td>Group Tactical</td>
<td>Freq: 167.200; System: NIFC; Chan: 11</td>
</tr>
<tr>
<td>Ground to Air</td>
<td>Freq: 168.575; System: GLBA; Chan: 8</td>
</tr>
</tbody>
</table>

9. Prepared by: Name: Walker Wetzel  Position/Title: PSC  Signature:

ICS 204 IAP Page __4__ Date/Time: 08/09/XX / 0200
### ASSIGNMENT LIST (ICS 204)

1. **Incident Name:** Cruise Ship HazMat Spill  
2. **Operational Period:**  
   - Date From: 08/19/XX  
   - Date To: 08/19/XX  
   - Time From: 0600  
   - Time To: 1800

3. **Branch:**  
   - **Division:**  
   - **Group:** Vessel  
   - **Salvage/Removal**  
   - **Staging Area:**

4. **Operations Personnel:**  
   - **Name**  
   - **Contact Number(s):**
     - Operations Section Chief: Dan Campbell xxx-xxx-xxxx  
     - Branch Director: Duane Jefferson (USCG) xxx-xxx-xxxx

5. **Resources Assigned:**  
   - **Resource Identifier**  
   - **Leader**  
   - **# of Persons**  
   - **Contact (e.g., phone, pager, radio frequency, etc.)**
     - Dive operations  
     - Tyrone Pickerell (USCG)  
     - 8  
     - xxx-xxx-xxxx

6. **Work Assignments:**  
   - --Conduct repairs on the hull of the YC sufficient to allow the vessel to be moved safely out of the Park and to a designated repair facility.  
   - --Prevent, if possible, the discharge of any hazardous materials into the bay waters.

7. **Special Instructions:**  
   - Complete a Unit Log. Debrief at the end of the operational period.

8. **Communications** (radio and/or phone contact numbers needed for this assignment):
   - **Name/Function**  
   - **Primary Contact:** indicate cell, pager, or radio (frequency/system/channel)
     - Command / Local: Freq: 166.200; System: NIFC; Chan: 1  
     - Command / Repeat: Freq: 166.500; System: NIFC; Chan: 5  
     - Status/Logistics / Local: Freq: 157.10; System: GLBA; Chan: 3  
     - Status/Logistics / Repeat: Freq: 166.500; System: NIFC; Chan: 5  
     - Group Tactical / On YC: Freq: 168.825; System: GLBA; Chan: 2  
     - Group Tactical / W/ USCG: Freq: 157.100; System: GLBA; Chan: 6  
     - Ground to Air: Freq: 168.575; System: GLBA; Chan: 8

9. **Prepared by:**  
   - **Name:** Walker Wetzel  
   - **Position/Title:** PSC  
   - **Signature:**

---

ICS 204  
IAP Page __5__  
Date/Time: 08/09/XX/0200  

---

ICS-300 – Intermediate ICS for Expanding Incidents  
Page 5.66  
Instructor Guide  
October 2013
## INCIDENT RADIO COMMUNICATIONS PLAN (ICS 205)

### 1. Incident Name:
Cruise Ship HazMat Spill

### 2. Date/Time Prepared:
Date: __________
Time: __________

### 3. Operational Period:
Date From: __________
Time From: __________
Date To: __________
Time To: __________

### 4. Basic Radio Channel Use:

<table>
<thead>
<tr>
<th>Zone Grp.</th>
<th>Ch #</th>
<th>Function</th>
<th>Channel Name/Trunked Radio System Talkgroup</th>
<th>Assignment</th>
<th>RX Freq N or W</th>
<th>RX Tone/NA C</th>
<th>TX Freq N or W</th>
<th>TX Tone/NAC</th>
<th>Mode (A, D, or M)</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Command</td>
<td>NIFC</td>
<td>Command and General Staff and Group Supervisors</td>
<td>166.200</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Local on YC</td>
<td>GLBA</td>
<td>Local on YC</td>
<td>168.825</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Internal communications on YC</td>
</tr>
<tr>
<td>3</td>
<td>Logistics</td>
<td>GLBA</td>
<td>Logistics</td>
<td>166.300</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Tactical (through Repeater)</td>
<td>NIFC</td>
<td>Group Supervisors on YC</td>
<td>166.500</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Communications between YC and ICP</td>
</tr>
<tr>
<td>6</td>
<td>Tactical w/ USCG</td>
<td>GLBA</td>
<td>Command and USCG</td>
<td>157.100</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Group Supervisors scan this frequency</td>
</tr>
<tr>
<td>7</td>
<td>Tactical</td>
<td>GLBA</td>
<td>Investigation</td>
<td>166.600</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Air-Ground</td>
<td>GLBA</td>
<td>Aircraft Observation Dispatch</td>
<td>168.575</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Flight Following</td>
</tr>
<tr>
<td>11</td>
<td>Tactical (through Repeater)</td>
<td>NIFC</td>
<td>NR Assessment Group</td>
<td>167.200</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 5. Special Instructions:

### 6. Prepared by (Communications Unit Leader):
Name: Sherrie Hillman
Signature: ______________________
Date/Time: 08-19-XX, 0200
### MEDICAL PLAN (ICS 206)

**1. Incident Name:** Cruise Ship HazMat Spill

**2. Operational Period:**
- Date From: Date To:
- Time From: Time To:

**3. Medical Aid Stations:**

<table>
<thead>
<tr>
<th>Name</th>
<th>Location</th>
<th>Contact Number(s)/Frequency</th>
<th>Paramedics on Site?</th>
</tr>
</thead>
<tbody>
<tr>
<td>NPS EMT’s</td>
<td>Cruise ship</td>
<td>xxx-xxx-xxxx</td>
<td>□ Yes □ No</td>
</tr>
<tr>
<td>NPS – GLBA HQ</td>
<td>Bartlett Cove</td>
<td>xxx-xxx-xxxx</td>
<td>□ Yes □ No</td>
</tr>
<tr>
<td>Gustavus Emergency Response</td>
<td>Gustavus</td>
<td>xxx-xxx-xxxx</td>
<td>□ Yes □ No</td>
</tr>
</tbody>
</table>

**4. Transportation** (indicate air or ground):

<table>
<thead>
<tr>
<th>Ambulance Service</th>
<th>Location</th>
<th>Contact Number(s)/Frequency</th>
<th>Level of Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gustavus Emergency Response</td>
<td>Gustavus</td>
<td>xxx-xxx-xxxx</td>
<td>□ ALS □ BLS</td>
</tr>
</tbody>
</table>

**5. Hospitals:**

<table>
<thead>
<tr>
<th>Hospital Name</th>
<th>Address, Latitude &amp; Longitude if Helipad</th>
<th>Contact Number(s)/Frequency</th>
<th>Travel Time</th>
<th>Trauma Center</th>
<th>Burn Center</th>
<th>Helipad</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bartlett Memorial</td>
<td>3260 Hospital Drive, Juneau</td>
<td>xxx-xxx-xxxx</td>
<td>1 hr</td>
<td>n/a</td>
<td>□ Yes □ No</td>
<td></td>
</tr>
</tbody>
</table>

**6. Special Medical Emergency Procedures:**

If necessary, a float plane will be dispatched from Glacier Bay Airways (697-2249 or 789-9009) and the victim will be flown to Juneau.

Conduct GLBA Dispatch in the event of ANY injury.

Check box if aviation assets are utilized for rescue. If assets are used, coordinate with Air Operations.

**7. Prepared by** (Medical Unit Leader): Name: Sherrie Hillman

**8. Approved by** (Safety Officer): Name: Pam Alice
### Sample IAP (Page 8 of 9)

**Safety Message/Plan (ICS 208)**

<table>
<thead>
<tr>
<th>1. Incident Name:</th>
<th>Cruise Ship HazMat Spill</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Operational Period:</td>
<td>Date From: 08/19/XX</td>
</tr>
<tr>
<td></td>
<td>Time From: 0600</td>
</tr>
</tbody>
</table>

3. **Safety Message/Expanded Safety Message, Safety Plan, Site Safety Plan:**

All personnel working on the incident must be aware of the following hazards and take appropriate mitigation measures:

Individuals working aboard the cruise ship must be aware of:

1. Significant amounts of diesel fuel and other petroleum products are mixed with water below decks. There is both a health hazard and a fire hazard associated with these materials.

   **HEALTH:**

   **Inhalation:** Inhalation of high concentrations of diesel fuel vapors causes dizziness, headaches, and stupor.
   **Ingestion:** Ingestion of diesel fuel causes irritation of stomach and intestines with nausea and vomiting.
   **Skin Exposure:** The liquid is irritating to the skin, especially where long term contact is involved. May burn skin or eyes.

   **FIRST AID:**

   1. Remove victim to fresh air. Apply appropriate actions if breathing is labored or stops.
   2. If ingested, do NOT induce vomiting. Give water to dilute.
   3. For skin exposure, remove contaminated clothing and gently flush affected areas with fresh water for 15 minutes.
   4. In all cases, get medical advice and medical attention as soon as possible.

   **FIRE:** If small, use dry chemical, CO₂, foam or water spray. If large, evacuate immediately.

2. Decks and passageways are likely to be very slippery. Where possible, use sand or absorbent materials to improve footing and traction.

3. Rubber gloves and protective clothing must be worn at all time by those entering the damaged areas of the vessel. Respiratory equipment is also required.

For ground personnel in the backcountry and along shore in the vicinity of the YC, maintain vigilance for bears and take evasive or avoidance actions.

All personnel on boats must wear PFD's at all time, and be aware that water temperatures are sufficiently low to cause hypothermia with short exposure times.

**THINK, AND ACT, SAFELY**

4. **Site Safety Plan Required?** Yes ☒ No ☐

   **Approved Site Safety Plan(s) Located At:**

5. **Prepared by:** Name: Pam Alice  
   Position/Title: Safety Officer  
   Signature: [Signature]

| ICS 208 | IAP Page 8 | Date/Time: 08/19/XX/0200 |
Sample IAP (Page 9 of 9)

Weather
August 18, XX

Temperature: 68 to 75 degrees
Relative Humidity: 45 to 60 %
Winds: east 5-10 knots
Seas: 2 foot swells with moderate chop
Sunrise: 0531 AKDT; Sunset: 2042 AKDT
Tides: High at 1448 (+18.2); Low at 2059 (-1.1)

Weather
August 19, XX

A moderate low pressure system is moving southerly from the Anchorage area and is expected to be in the Glacier Bay area by noon today.

Temperature: 60 to 65 degrees
Relative Humidity: 60 to 75%
Winds: west, 10 to 18 knots
Seas: 3 foot swells with moderate to heavy chop
Sunrise: 0534 AKDT; Sunset: 2040 AKDT
Tides: Highs at 0256 (+18.7) and 1526 (+18.8); Lows at 0921 (-3.3) and 2143 (-1.8)

Weather
August 20, XX

Continued strong winds and showers from midnight through most of the day. Winds gusty, seas will continue to have swells 3 to 5 feet with moderate chop.

Temperature: 62 to 65 degrees
Relative humidity: 85 to 100%
Winds: west to southwest, 15 to 20 knots with stronger gusts.
Seas: 3 to 5 foot swells with moderate to heavy chop.
Sunrise: 0536 AKDT; Sunset: 2037 AKDT
Tides: Highs at 0342 (+18.3) and 1605 (+19.0); Lows at 1001 (-2.5) and 2029 (-1.9)
Instructor Notes: Present the following key points.

The operations briefing (also known as the shift briefing) is the next step in the incident planning process.

- Is conducted at the beginning of each operational period. Immediately prior to the start of the new operational period, all of the supervisors of the tactical resources to be employed during that period should attend an operations briefing. In some cases, all of the tactical personnel should attend if they can be accommodated.

- Presents the IAP to supervisors of tactical resources. The main purpose is to present the IAP to these individuals. Staff members will be briefed on the operational elements of the plan to ensure they are aware of whom they will work for, and what it is that must be accomplished. In addition, staff members will have a chance to ask questions regarding the plan, be briefed on any critical safety issues, and be informed regarding specific logistical information.

- Should be concise. The Planning Section Chief facilitates the briefing, following a concise agenda.

After the operations briefing, supervisors will meet with their assigned resources for a detailed briefing on their respective assignments.
CONDUCTING THE OPERATIONS BRIEFING

Visual 5.46

Sample Operations Briefing Agenda (1 of 2)

<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Who</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Introduction and Welcome</td>
<td>Planning Section Chief</td>
</tr>
<tr>
<td>2. Review of Incident Objectives</td>
<td>Incident Commander</td>
</tr>
<tr>
<td>3. Review of Current Incident/ Objective Status</td>
<td>Operations Section Chief Technical Specialists (as necessary)</td>
</tr>
<tr>
<td>4. Incident Boundaries, Branch/Division Locations, and Group Assignments</td>
<td>Operations Section Chief</td>
</tr>
</tbody>
</table>

Instructor Notes: Present the following key points.

1. **Planning Section Chief** performs introductions, welcomes, and reviews agenda. The Planning Section Chief facilitates the meeting.

2. **Incident Commander** (or the Planning Section Chief) reviews the incident objectives.

3. **Operations Section Chief** provides an overview of current incident status and the progress toward achieving incident objectives and tactical assignments.

   Technical Specialists speak as necessary. Input depends on the nature of the incident. Hazardous materials incidents may have presentations by Hazmat or Weather Technical Specialists; wildland fires may have presentations by Fire Behavior Technical Specialists, etc.

4. **Operations Section Chief** indicates incident boundaries, Branch/Division locations, and Group assignments.
CONDUCTING THE OPERATIONS BRIEFING

Instructor Notes: Present the following key points.

5. The Operations Section Chief reviews all Division/Group Assignments (ICS Form 204), ensuring that the Division and Group Supervisors thoroughly understand the tactical assignment, resources, communications, special instructions, and safety issues associated with the Division or Group. It is not unusual for incident conditions to have changed between the time the IAP is duplicated and the operations briefing. The Operations Section Chief may dictate last-minute changes to the IAP. This is the primary focus of the meeting.

6. Safety Officer discusses safety issues such as accidents and injuries to date, continuing and new hazards, and mitigation efforts. Reviews Safety Message.

7. Logistics Section Chief covers supply, transportation, food, and facilities-related issues. The Logistics Section Chief will also cover (or may have staff discuss) the following:
   - Medical Unit Leader discusses the Medical Plan (ICS Form 206), ensuring that all supervisors understand the procedures to follow if a responder is injured on the incident.
   - Communications Unit Leader reviews the overall Incident Communications Plan (ICS Form 205 and ICS Form 205A).

8. Other Personnel may review additional IAP elements as needed. These may include:
   - Air Operations Summary – Air Operations Branch Director
   - Fiscal or Compensation/Claims issues – Finance/Administration Section Chief
   - Issues associated with cooperating or assisting agencies – Liaison Officer
   - Media and incident information issues – Public Information Officer
   - Other issues (may include presentations by Training Specialist, the Demobilization Unit Leader, etc.)

9. Incident Commander provides closing remarks.

10. Planning Section Chief provides housekeeping information such as times of next meetings, etc., and concludes the meeting.
A sample operations briefing agenda is included below. Use this sample agenda as a guide for the operations briefing (also known as the shift briefing).

### 1. Situation Update

The Planning Section Chief provides an update of the incident, including the:
- Status of current tactical assignments.
- Response issues.
- New tactical assignments.
- Projections that may impact the next operational period.

### 2. Plan Review

The plan review may include last-minute "pencil" changes to the IAP and will include a discussion of each Division/Group Assignment Sheet and potential contingency plans. Each Division or Group Supervisor will have an opportunity to ask questions to clarify his or her assignment.

### 3. Discussion of Logistical Support Details

This item should include a review of Transportation, Communications, and Medical Plans, as well as plans for feeding and resting personnel.

### 4. Review of Safety Message

This item should cover the safety message and remind the Supervisors of the safety precautions that must be taken at the site.
EXECUTING THE PLAN AND ASSESSING PROGRESS

The next step in the incident planning process is to execute the plan and assess progress.

- The Operations Section directs the implementation of the plan. The supervisory personnel within the Operations Section are responsible for implementation of the plan for the specific operational period.

- Once the Incident Action Plan has been approved, any change or modification to the plan should be written in red ink on the original document. This original document serves as the incident’s official document to be retained.

- The plan is evaluated at various stages in its development and implementation:
  - First, all members of the Command and General Staffs review the final plan document and correct any discrepancies.
  - Next, during the implementation of the plan, all incident supervisors and managers must continually assess the effectiveness of the plan based upon the original measurable objectives for the operational period. This evaluation of the plan keeps responders on track and on task and ensures that the next operational period plan is based on a reasonable expectation of success of the current plan.
  - Finally, the Operations Section Chief may make the appropriate adjustments during the operational period to ensure that the objectives are met and effectiveness is assured.
Instructor Notes: Present the following key points.

In addition to the “standard” meetings of the formal planning process, incident managers may see a need to bring all or select members of the organization together outside that process. These meetings encourage communication and ensure organizational continuity. Such meetings include, but may not be limited to:

- **Strategy Meetings** – The Incident Commander or Unified Command may hold a strategy meeting as part of the process of assuming command. It may be held following the Agency Administrator’s briefing, prior to, or as part of a tactics meeting, or as an agenda item for the Unified Command meeting. Additionally, a strategy meeting may be called any time incident objectives change. Strategy meetings can be especially valuable in ensuring that there is quality input into the process of developing incident strategy.

- **Team Meetings** – The Incident Commander can call a meeting of the Command and General Staffs to assess general morale, ensure teamwork and communication, or provide additional direction. These meetings are not planning meetings and do not have a set agenda.

- **Section Meetings** – Section Chiefs may also call meetings of their staff at any time and for the same reasons as team meetings.

- **Team Closeout** – The Incident Management Team may want to hold a team closeout meeting to discuss lessons learned, performance issues, changes in team practices, etc.
EXECUTING THE PLAN AND ASSESSING PROGRESS

Visual 5.49: Other Types of Meetings (Continued)

- **Public Meetings** – The Incident Commander may find it useful to hold general public meetings or focus group meetings to brief the public or special interest groups on incident activities. Such meetings should be carefully planned in advance and have a formal agenda. Usually the Public Information Officer is also involved in advertising, organizing, and facilitating such meetings.

- **Special Planning Meetings** – Special planning meetings may be useful to discuss proposed specialty plans such as the Demobilization Plan or specific contingency plans. Such meetings may be convened by the Planning Section Chief (Demobilization Plan) and/or the Operations Section Chief (contingency plans).

- **Transition Meetings** – A transition meeting can be seen as an expanded transfer of command meeting when one Incident Management Team takes over an incident from another Incident Management Team. Transition meetings are a good way to ensure that all information is shared between members of incoming and departing Incident Management Teams.
APPLIED ACTIVITY

Visual 5.50

Instructor Notes: Present the following key points.

This unit provides alternative activities. To prepare for this activity, refer to the activity file on your resource CD. Note that you must continue with the scenario selected in the previous unit.

Instructor Note:

- Continue with the scenario you selected in the previous unit.

- Prior to conducting the training, make copies of the student handout. Make one copy for each participant.
Instructor Notes: Present the following key points.

Ask participants if they are able to:

- Identify the importance of planning for incidents/events.
- Explain the differences between planning for incidents and events.
- Discuss major planning steps including logistical concerns, cost-benefit analysis, understanding the situation, developing and implementing the plan, and evaluating the plan.
- Explain the criteria for determining when the Incident Action Plan (IAP) should be prepared in writing.
SUMMARY

Instructor Notes: Present the following key points.

Ask participants if they are able to:

- Describe the role and use of ICS forms and supporting materials included in an IAP for effective incident/event management.

- Describe the strategy meeting, tactics meeting, planning meeting, operational period briefing, and team meeting.

- Given a scenario, describe appropriate strategies and tactics to meet incident objectives.

- Conduct a tactics meeting and complete an ICS 215, Operational Planning Worksheet, and ICS 215A, Incident Action Plan Safety Analysis, using the strategies and tactics from the scenario.
Instructor Notes: Present the following key points.

Ask participants if they are able to:

- Describe how ICS 215A, Incident Action Plan Safety Analysis, is used with ICS 215 to mitigate hazards in tactical operations.

- Recognize agency-specific aviation policies and procedures as they relate to safety.

- Participate in a planning meeting using the planning process and develop a written IAP for an incident/event using the appropriate ICS forms and supporting materials.

- Using the IAP, conduct an operational period briefing.

Ask the participants if they have any questions about the planning process. Explain that the next unit presents information on managing incident resources.
UNIT 6: INCIDENT RESOURCE MANAGEMENT
This page intentionally left blank.
Unit Objectives

At the end of this unit, the participants should be able to:

- Identify and describe basic principles of resource management.
- Identify the basic steps involved in managing incident resources.
- Identify key considerations associated with resource management and the reasons for each.
- Describe how ICS Form 215, Operational Planning Worksheet, is used to manage incident or event resources.
- Identify the organizational elements at the incident that can order resources.
- Describe the differences between single-point and multipoint resource ordering and the reasons for each.

Scope

- Unit Introduction and Objectives
- NIMS Resource Management Principles
- Resource Management Process
- Preparedness
  - Inventory
  - Credentialing
- Inventory
- Identify Requirements
- Order and Acquire
- Mobilize
- Track and Report
- Recover, Demobilize, and Reimburse
- Applied Activity: Resource Management
- Summary

Methodology

The instructor will begin this unit by presenting the unit objectives and explaining that the unit focuses on incident resources management. The instructor will cover NIMS resource management principles and practices, and introduce the seven-step incident resource management process: inventory (prior to an incident), identify resources, order and acquire, mobilize, track and report, recover and demobilize, and reimburse. This unit describes the activities that occur in each step of the process.

The instructor will discuss planning for resource needs and the use of the Operational Planning Worksheet (ICS Form 215). The Incident Safety Analysis (ICS Form 215A) will then be introduced and explained. The instructor will transition to resource ordering, including: acquiring resources, responsibility for ordering resources, and the resource order. Single-point and multipoint resource ordering will then be described. The check-in process and tracking resources will then be explained. The instructor will discuss utilization of resources, including resource assignments and resource performance evaluation. Finally, the instructor will present demobilization of resources.
Methodology (Continued)

The scenario for the applied activity is a continuation from the previous unit. Teams will be required to complete the following tasks:

- Determine how resources will be ordered (single point or multipoint) for this incident.
- Identify the top challenges and strategies for managing resources during this incident.
- Describe the method for evaluating resource effectiveness.

At the end of this unit, the instructor will answer any questions from participants and summarize the key points of the unit. The instructor will then transition to the unit on demobilization.

Materials

- PowerPoint visuals 6.1 – 6.48
- Instructor Guide
- PowerPoint slides and a computer display system
- Student Manual

Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit Introduction and Objectives</td>
<td>5 minutes</td>
</tr>
<tr>
<td>NIMS Resource Management Principles and Process</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Preparedness: Inventory and Credentialing</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Identify Requirements</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Order and Acquire</td>
<td>15 minutes</td>
</tr>
<tr>
<td>Mobilize</td>
<td>15 minutes</td>
</tr>
<tr>
<td>Track and Report</td>
<td>30 minutes</td>
</tr>
<tr>
<td>Recover, Demobilize, and Reimburse</td>
<td>30 minutes</td>
</tr>
<tr>
<td>Applied Activity: Resource Management</td>
<td>60 minutes</td>
</tr>
<tr>
<td>Summary</td>
<td>5 minutes</td>
</tr>
<tr>
<td><strong>Total Time</strong></td>
<td><strong>3 hours</strong></td>
</tr>
</tbody>
</table>
UNIT INTRODUCTION

Visual 6.1

Instructor Notes: Present the following key points.

This unit will cover resource management considerations related to the use of tactical and support resources at an incident.
UNIT OBJECTIVES

Visual 6.2

Unit Objectives (1 of 2)

- Identify and describe basic principles of resource management.
- Identify the basic steps involved in managing incident resources.
- Identify key considerations associated with resource management and the reasons for each.
- Describe how ICS Form 215, Operational Planning Worksheet, is used to manage incident or event resources.

Instructor Notes: Present the following key points.

Show the next two visuals and review the unit objectives with the class. Tell the participants that by the end of this unit, they should be able to:

- Identify and describe basic principles of resource management.
- Identify the basic steps involved in managing incident resources.
- Identify key considerations associated with resource management and the reasons for each.
- Describe how ICS Form 215, Operational Planning Worksheet, is used to manage incident or event resources.
Unit Objectives (2 of 2)

- Identify the organizational elements at the incident that can order resources.
- Describe the differences between single-point and multipoint resource ordering and the reasons for each.

Instructor Notes: Present the following key points.

Continue presenting the unit objectives:

- Identify the organizational elements at the incident that can order resources.
- Describe the differences between single-point and multipoint resource ordering and the reasons for each.
Instructor Notes: Present the following key points.

Resources must be organized, assigned, and directed to accomplish the incident objectives. **Managing resources safely and effectively is the most important consideration at an incident.**

The National Incident Management System (NIMS) includes the following principles related to resource management:

- **Planning:** Coordinated planning, training to common standards, and inclusive exercises provide a foundation for the interoperability and compatibility of resources throughout an incident. Jurisdictions should work together in advance of an incident to develop plans for ordering, managing, and employing resources. The planning process should include identifying resource needs based on the threats and vulnerabilities of the jurisdiction and developing alternative strategies to obtain the needed resources.

Planning may include the creation of new policies to encourage pre-positioned resources. Pre-positioned resources are those that are moved to an area near the expected incident site in response to anticipated resource needs. Plans should anticipate conditions or circumstances that may trigger a specific reaction, such as the restocking of supplies when inventories reach a predetermined minimum. Organizations and/or jurisdictions should continually assess the status of their resources in order to have an accurate list of resources available at any given time. Additionally, emergency management/response personnel should be familiar with the National Response Framework (NRF) and should be prepared to integrate and/or coordinate with Federal resources, including those that might be pre-positioned.
**NIMS RESOURCE MANAGEMENT PRINCIPLES**

**Visual 6.4: NIMS Resource Management Principles**  (Continued)

- **Use of Agreements:** Agreements among all parties providing or requesting resources are necessary to enable effective and efficient resource management during incident operations. This includes developing and maintaining standing agreements and contracts for services and/or supplies that may be needed during an incident.

- **Categorizing Resources:** Resources are organized by category, kind, and type, including size, capacity, capability, skill, and other characteristics. This makes the resource ordering and dispatch process within and across jurisdictions and between all levels of government, the private sector, and nongovernmental organizations (NGOs) more efficient, and is intended to ensure that needed resources are received.

- **Resource Identification and Ordering:** The resource management process uses standardized processes and methodologies to identify, order, mobilize, and track the resources required to support incident management activities. Those with resource management responsibilities perform these tasks either at the Incident Commander’s request or in accordance with planning requirements. Identification and ordering of resources are intertwined. In some cases, the identification and ordering process is compressed, where an Incident Commander may know the resources necessary for the task and specify a resource order directly. However, in larger, more complex incidents, the Incident Commander may not be fully aware of resources available to meet the incident demands. At this point, the Incident Commander may identify needs based on incident objectives and use the resource management process to fill these needs.

- **Effective Management of Resources:** Resource management involves acquisition procedures, management information, and redundant systems and protocols for ordering, mobilizing, dispatching, and demobilizing resources.
Instructor Notes: Present the following key points.

Safety, personnel accountability, managerial control, adequate reserves, and cost are all key considerations that must be taken into account when managing incident resources.

- **Safety**: Resource actions at all levels of the organization must be conducted in a safe manner. This basic principle of resource management includes ensuring the safety of:
  - Responders to the incident.
  - Persons injured or threatened by the incident.
  - Volunteers assisting at the incident.
  - News media and the general public who are on scene observing the incident.

- **Personnel Accountability**: All resources will be fully accounted for at all times. ICS provides a unity of command structure that allows supervisors at every level to know exactly who is assigned and where they are assigned. If the management process is followed, and the principles of ICS maintained, personnel accountability can be maintained at all times.

- **Managerial Control**: Performance and adequacy of the current Incident Action Plan (IAP) must be assessed and adjusted continually. ICS has a built-in process that allows resource managers at all levels to constantly assess performance and the adequacy of current action plans. If necessary, strategies and actions used to achieve objectives can and must be modified at any time. Information exchange is encouraged across the organization. Direction is always through the chain of command.
NIMS RESOURCE MANAGEMENT PRINCIPLES

Visual 6.5: Resource Management Practices (Continued)

- **Adequate Reserves**: Adequate reserves must be maintained to meet anticipated demands. Assignment of resources to the Incident Base, Camps, and Staging Areas provides the means to maintain adequate reserves. Reserves can always be increased or decreased in Staging Areas to meet anticipated demands.

- **Cost**: Objectives must be achieved through cost-effective strategy selection, and selection of the right kind, type, and quantity of resources. Incident-related costs must always be a major consideration.

  The Incident Commander must ensure that objectives are being achieved through cost-effective strategy selection, and selection of the right kind and right number of resources.

  The Finance/Administration Section’s Cost Unit has the responsibility to:
  - Obtain and record all cost information.
  - Prepare incident cost summaries.
  - Prepare resource use cost estimates for planning.
  - Make recommendations for cost savings.

  The Cost Unit can assist the Incident Commander in ensuring a cost-effective approach to incident resource management, and should be activated on any large or prolonged incident.

This unit presents a systematic resource management process to put these principles into practice.
Instructor Notes: Present the following key points.

Incident resource management includes standardized procedures, methodologies, and functions. The following seven-step resource management process is used:

- Inventory (Prior to an incident)
- Identify Requirements
- Order and Acquire
- Mobilize
- Track and Report
- Recover and Demobilize
- Reimburse

The resource management process can be separated into the following two parts:

- **Preparedness**: The preparedness activities (resource typing, credentialing, and inventory) are conducted on a continual basis to help ensure that resources are ready to be mobilized when called to an incident.

- **During an Incident**: Resource management during an incident is a finite process with a distinct beginning and ending specific to the needs of the particular incident.

The next section of this unit begins with a review of resource management preparedness or inventorying.

Source: NIMS document
Instructor Notes: Present the following key points.

- Resource management uses various resource inventory systems to assess the availability of assets provided by jurisdictions.

- Preparedness organizations should inventory and maintain current data on their available resources. The data are then made available to communications/dispatch centers and emergency operations centers (EOCs) and organizations within multiagency agency coordination systems.

- The fact that resources are identified within an inventory system is not an indication of automatic availability. The jurisdiction and/or owner of the resources has the final determination on availability.
Instructor Notes: Present the following key points.

Resource preparedness includes credentialing. The credentialing process is:

- An objective evaluation and documentation of a person’s current license or degree; training or experience; competence or certification; and the ability to meet nationally accepted minimum standards to provide particular services and/or functions or perform particular procedures during an incident.

- The administrative process for validating the qualifications of personnel and assessing their background for authorization and access to an incident involving mutual aid.

- Done as a preparedness activity for resource management, and is separate from badging, which takes place at the incident site in order to allow individuals and/or teams access to the scene. To be granted this access by the proper agents (i.e., State, tribal, local, private, and NGO), jurisdictions should establish processes that include the verification of the following:
  - Identity
  - Qualifications
  - Deployment authorization

The flowchart on the following page outlines the process, as recommended by the National Integration Center, for determining eligibility for credentialing under NIMS.
PREPAREDNESS: CREDENTIALING

Visual 6.8: Credentialing (Continued)

The following figure summarizes the NIMS credentialing process.

Source: NIMS document
Instructor Notes: Present the following key points.

To ensure that responders get the right personnel and equipment, ICS resources are categorized by:

- **Kinds of Resources**: Describe what the resource is (for example: medic, firefighter, Planning Section Chief, helicopters, ambulances, combustible gas indicators, bulldozers).

- **Types of Resources**: Describe the size, capability, and staffing qualifications of a specific kind of resource.

Note the following key points:

- Resource users at all levels utilize these standards to identify and inventory resources. Resource kinds may be divided into subcategories to define more precisely the resource capabilities needed to meet specific requirements. Resource typing is a continuous process designed to be as simple as possible to facilitate frequent use and accuracy in obtaining needed resources.

- To allow resources to be deployed and used on a national basis, the National Integration Center (with input from Federal, State, tribal, local, private-sector, NGO, and national professional entities) is responsible for facilitating the development and issuance of national standards for the typing of resources and ensuring that these typed resources reflect operational capabilities.
Instructor Notes: Present the following key points.

When an incident occurs, those with resource management responsibilities should continually identify, refine, and validate resource requirements. This process involves accurately identifying:

- What and how much is needed,
- Where and when it is needed, and
- Who will be receiving or using it.

Resources to be identified in this way include equipment, facilities, and personnel and/or emergency response teams.

- If a requestor is unable to describe an item by resource type or classification system, those with resource management responsibilities should provide technical advice to enable the requirements to be defined and translated into a specification. Specific resources for critical infrastructure and key resources may need to be identified and coordinated through mutual aid agreements and/or assistance agreements unique to those sectors, and should be accessible through preparedness organizations and/or multiagency coordination systems.

- Resource availability and requirements will constantly change as the incident evolves. Consequently, all emergency management/response personnel and their affiliated organizations participating in an operation should coordinate closely in this process. Coordination should begin as early as possible, preferably prior to the need for incident response activities.
IDENTIFY REQUIREMENTS

Visual 6.10: Identify Requirements (Continued)

- In instances when an incident is projected to have catastrophic implications (e.g., a major hurricane or seasonal flooding), States and/or the Federal Government may predeploy assets to the anticipated incident area. In cases where there is time to assess the requirements and plan for a catastrophic incident, the Federal response will be coordinated with State, tribal, and local jurisdictions, and the pre-positioning of Federal assets will be tailored to address the specific situation.

Note that the resources identified and ordered may include Incident Management Team personnel, such as a Resources Unit Leader or Situation Unit Leader.
IDENTIFY REQUIREMENTS

Instructor Notes: Present the following key points.

The Operational Planning Worksheet, ICS Form 215, results from the tactics meeting and serves the following functions:

- Assists in establishing requirements (resource needs) for an operational period.
- Communicates the decisions made during the tactics meeting.
- Provides information that is used for ordering resources for the incident.
Instructor Notes: Present the following key points.

The next section of the unit covers resource ordering.

- Usually, all incidents will have an initial commitment of resources assigned. Resources can include key supervisory personnel, often referred to as "overhead" (more correctly as "management"), and personnel and equipment assigned as tactical resources.

- The initial complement of resources may include only one or two additional units. If only a few resources are to be added, the Incident Briefing, ICS Form 201, can be used as documentation. The Incident Briefing form may serve as the vehicle for recording resources in most incidents. However, as incidents grow, it will be necessary to use some of the other ICS tools.

- As incidents grow in size and/or complexity, more tactical resources may be required and the Incident Commander may augment existing resources with additional personnel and equipment. As a consequence, a more formalized resource ordering process may be needed.
Instructor Notes: Present the following key points.

Resource ordering activities of the incident command organization include the following:

- **Command** develops incident objectives and approves resource orders and demobilization.
- **Operations** identifies, assigns, and supervises the resources needed to accomplish the incident objectives.
- **Planning** tracks resources and identifies resource shortages.
- **Logistics** orders resources.
- **Finance and Administration** procures and pays for the resources and reports costs.
Instructor Notes: Present the following key points.

- Final approval for ordering additional resources, as well as releasing resources from an incident, is the responsibility of the Incident Commander.

Ordinarily, it is not efficient use of the Incident Commander's time to review and approve all resource orders for routine supplies (e.g., food) on a major incident. The Incident Commander may delegate approval of certain orders while reviewing and approving any nonroutine requests, especially if they are expensive, require outside agency participation, or have potential political ramifications.

- If the Logistics Section Chief position has been filled, then the Logistics Section Chief has the delegated authority to place the resource order after the order has been approved by the Incident Commander or his/her designee.

On larger incidents, where the Logistics Section contains a Supply Unit, the Supply Unit Leader has the authority to place the approved resource order.

If the incident organization is small and General Staff positions have not been filled, then the Incident Commander will personally request the additional resources from the agency dispatch/ordering center.
During smaller incidents, where only one jurisdiction or agency is primarily involved, the resource order is typically prepared at the incident, approved by the Incident Commander, and transmitted from the incident to the jurisdiction or agency ordering point. Methods for placing orders may include:

- Voice (by telephone or radio).
- Fax.
- Other electronic means.

Resource ordering can be accomplished by:

- Single-point resource ordering.
- Multipoint resource ordering.

The next visual presents the concept of single-point resource ordering.
Instructor Notes: Present the following key points.

- The concept of single-point resource ordering is that the burden of finding the requested resources is placed on the responsible jurisdiction/agency dispatch/emergency operations center or other multiagency coordination entity, and not on the incident organization.

- Single-point resource ordering (i.e., ordering all resources through one dispatch/emergency operations center or other multiagency coordination entity) is usually the preferred method. However, single-point resource ordering may not be feasible when:
  
  - The dispatch/emergency operations center or other multiagency coordination entity becomes overloaded with other activity and is unable to handle new requests in a timely manner.
  - Assisting agencies at the incident have policies that require all resource orders be made through their respective dispatch/emergency operations center or other multiagency coordination entity.
  - Special situations relating to the order may necessitate that personnel at the incident discuss the details of the request directly with an offsite agency or private-sector provider.

Refer to the graphic on the visual. Note that if the Logistics Section is not activated, then the Incident Commander or designee would request resources.
Instructor Notes: Present the following key points.

Introduce multipoint ordering by presenting the following points:

- Multipoint ordering is when the incident orders resources from several different ordering points and/or the private sector. **Multipoint off-incident resource ordering should be done only when necessary.**

- Multipoint ordering may be necessary when:
  - A certain kind of resource must be directly ordered through the owner agency or supplier (which may not be the home agency). A common example of this is hazardous materials situations that may require specialized private-sector cleanup equipment.
  - Agency policy requires the direct ordering process.
  - Most of the requested resources are from agencies or organizations different from the incident home agency, and it is more convenient or effective to deal with resource providers directly from the incident.

- Multipoint ordering places a heavier load on incident personnel by requiring them to place orders through two or more ordering points. This method of ordering also requires tremendous coordination between and among ordering points, and increases the chances of lost or duplicated orders. A multiagency coordination entity, such as an EOC, may assist the resource ordering process. By involving the EOC:
  - A wider range of sources can be accessed.
  - Priorities can be established, especially in large-scale incidents that have multiple Incident Command Posts.
  - On-scene personnel can focus better on the response issues at hand.

Regardless of whether Logistics is using single- or multiple-point ordering, the rest of the incident staff must place their orders through Logistics.
Instructor Notes: Present the following key points.

Ask the participants these review questions: What are the advantages of single-point ordering? Under what circumstances would you use multipoint ordering?

Ask for volunteers to answer the questions. If not mentioned by the participants, add the following:

- The concept of single-point resource ordering is that the burden of finding the requested resources is placed on the responsible jurisdiction/agency dispatch/ordering center and not on the incident organization.

- Multipoint ordering is most often used when several different agencies (e.g., law, fire, medical, public works) at the same incident have policies that require all resource orders be made through their respective dispatch/ordering centers. On-scene personnel need to discuss the details of the request directly with an offsite agency or private-sector provider.
Instructor Notes: Present the following key points.

Although different formats may exist, every resource order should contain the following essential elements of information:

- Incident name.
- Order and/or request number (if known or assigned).
- Date and time of order.
- Quantity, kind, and type. (Resources should be ordered by Task Forces or Strike Teams when appropriate. Include special support needs as appropriate.)
ORDER AND ACQUIRE

Instructor Notes: Present the following key points.

- Reporting location (specific).
- Requested time of delivery (specific, immediate vs. planned, not ASAP).
- Radio frequency to be used.
- Person/title placing request.
- Callback phone number or radio designation for clarifications or additional information.
Instructor Notes: Present the following key points.

On more complex incidents, resource order forms (such as the Resource Request Message, ICS Form 213) may be used. Note that the following information is typically included on resource order forms:

- Description of resource
- Source for the responding resource
- Approval by the requesting agency
- Estimated time of arrival and reporting location
- Resource request number

Instructor Note: If you are training a single jurisdiction, add any specific resource ordering policies, procedures, or forms.
Instructor Notes: Present the following key points.

- Emergency management/response personnel begin mobilizing when notified through established channels. At the time of notification, personnel are given:
  - The date, time, and place of departure, and mode of transportation to the incident.
  - Estimated date and time of arrival, reporting location (address, contact name, and phone number), and anticipated incident assignment.
  - Anticipated duration of deployment.
  - Resource request number, incident number, and applicable cost and funding codes.

- The resource tracking and mobilization processes are directly linked. When resources arrive on scene, they must be formally checked in. This starts the on-scene check-in process and validates the order requirements. Notification that the resources have arrived is made through the appropriate channels.
The mobilization process may include planning for deployment based on existing interagency mobilization guidelines; equipping; training; designating assembly points that have facilities suitable for logistical support; and obtaining transportation to deliver resources to the incident most quickly, in line with priorities and budgets. Mobilization plans should also recognize that some resources are fixed facilities, such as laboratories, hospitals, EOCs, shelters, and waste management systems. These facilities assist operations without moving into the incident area in the way that other resources are mobilized. Plans and systems to monitor the status of resource mobilization should be flexible enough to adapt to both types of mobilization.

Managers should plan and prepare for the demobilization process at the same time as they begin the resource mobilization process. Early planning for demobilization facilitates accountability and makes the transportation of resources as efficient as possible—in terms of both costs and time of delivery.
Instructor Notes: Present the following key points.

Ask the participants: Where and how do you check in to an incident?

Acknowledge participants’ responses.

Present the following points if not mentioned during the discussion:

- The Resources Unit will establish and conduct the check-in function at designated incident locations. If the Resources Unit has not been activated, the responsibility for ensuring check-in will be handled by the Incident Commander or Planning Section Chief.

- There are five incident locations where check-in can be done:
  - Incident Base
  - Camp
  - Staging Area
  - Resources Unit at the Incident Command Post
  - HeliBase
Instructor Notes: Present the following key points.

- The ICS 211 is used for resource check-in.
- A Check-In Recorder will be assigned to each location where resources will check in. Check-In Recorders must have an adequate supply of check-in forms and be briefed on the frequency for reporting check-in information to the Resources Unit.

A copy of the ICS 211 can be found on the next page.
## Incident Check-In List, ICS Form 211

<table>
<thead>
<tr>
<th>1. Incident Name:</th>
<th>2. Incident Number:</th>
<th>3. Check-In Location (complete all that apply):</th>
<th>4. Start Date/Time:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>□ Base □ Staging Area □ ICP □ Helibase □ Other</td>
<td>Date:</td>
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<td>Time:</td>
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### Check-In Information (use reverse of form for remarks or comments)

5. List single resource personnel (overhead) by agency and name, OR list resources by the following format:

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</tbody>
</table>

ICS 211 17. Prepared by: Name: ___________ Position/Title: ___________ Signature: ___________ Date/Time: __
Instructor Notes: Present the following key points.

- Limiting the number of check-in locations will greatly increase the reliability of resource information on the incident, thus improving future planning efforts.

- The following check-in information is used for tracking, resource assignment, and financial purposes:

  - Date and time of check-in
  - Name of the resource
  - Home unit or agency
  - Departure point, date, and time
  - Order number and position filled (personnel only)
  - Crew Leader name and number of personnel (for crews)
  - Other qualifications
  - Travel method
  - Incident assignment
Instructor Notes: Present the following key points.

Incoming primary and tactical resources will initially be assigned to the following locations at the incident:

- Direct Assignment to Supervisor
- Assignment to Staging Area
- Assignment to Incident Base or Camp
Direct Assignment to Supervisor

- On fast-moving or rapidly expanding incidents, tactical resources may report immediately to Divisions or Groups.
- In direct assignments, tactical resources report in with a designated Supervisor.
- Formal check-in must take place when the resources are in the Staging Areas or are out-of-service.

Instructor Notes: Present the following key points.

- On fast moving or rapidly expanding incidents, tactical resources are often assigned to report immediately to Divisions or Groups to support the current IAP. In these situations, the tactical resources must always report in with a designated Division or Group Supervisor (if assigned to a single resource, the tactical resource is reporting to his or her supervisor).

- Formal check-in will take place later after resources are placed in Staging Areas or are out of service.

- While a direct assignment to supervisors is often necessary to meet the demands of the incident, it is not the preferred way of handling incoming additional resources, especially if they have traveled long distances.
Instructor Notes: Present the following key points.

- Incoming tactical resources are assigned to Staging Areas. Resources may be sent to the Staging Area when they:
  - Will be assigned during the current operational period.
  - Are needed to provide a reserve force for contingencies.
  - Are single resources that need to be formed into Task Forces and/or Strike Teams prior to assignment.

- As part of the planning process, the Operations Section Chief will decide quantity, kind, and type of resources to be kept in Staging Areas. This decision is based on creating adequate reserves to meet expected contingencies.

- The number of resources in a Staging Area can change dramatically during an operational period. It can be, and often is, a dynamic and fluid situation, with resources leaving the Staging Area for active assignments and new resources arriving.

- The Staging Area Manager must maintain the status of resources in the Staging Area and inform the Operations Section Chief when minimum levels of resources are about to be reached.

- At times, the Operations Section Chief will delegate authority to the Staging Area Manager for placing additional resource orders to maintain minimum levels. The Operations Section Chief will then determine if additional resources are to be ordered.
Instructor Notes: Present the following key points.

The Operations Section Chief must brief the Staging Area Manager(s) on how the Staging Area should be managed. This briefing should include:

- Expected number, kind, and type of resources.
- Communications to be used.
- Minimum resource levels that should be maintained.
- Procedures for obtaining additional resources.
- Expected duration for use of the Staging Area.
- Procedures for obtaining logistical support.
Instructor Notes: Present the following key points.

Ask the participants: What are some concerns that the Operations Section Chief must be aware of if resources are in the Staging Area for long periods?

Ask for volunteers to answer the question. If not mentioned by the participants, add the following:

- The Operations Section Chief must be concerned about the cost, morale, and political implications of maintaining resources for long periods of time in Staging Areas.

- This is particularly true for equipment and personnel that have been hired from private-sector sources where significant cost accumulations can take place.
MOBILIZE

Visual 6.31

Assignment to Base or Camp

- Often done when the tactical resources are not scheduled for use during the current operational period.
- For resources that have traveled some distance, being in an out-of-service status allows briefings and a rest period.

Instructor Notes: Present the following key points.

- Assignment to the incident Base or Camp location is often done when the tactical resources are not scheduled for use during the current operational period.

- For resources that have traveled some distance, the assignment to the Base or Camps in an out-of-service status allows for briefings and a rest period prior to taking on an active assignment in the next operational period.

- Personnel resources ordered to fill specific organizational assignments will report to their designated check-in location, which will usually be the Resources Unit at the Incident Command Post, the incident Base, or another designated facility.
Instructor Notes: Present the following key points.

The next section of the unit covers resource check-in and tracking.
Instructor Notes: Present the following key points.

- As soon as the incident is discovered and reported, and often even before responders are dispatched, self-dispatched personnel, victims, and spectators will converge at the scene. When responders arrive, they must separate first spectators, and then volunteers from victims, and secure a perimeter around the incident.

- This perimeter allows the organization to:
  - Establish personnel accountability.
  - Control access.
  - Ensure safety of the public.
  - Establish a working environment for responders that is as safe and secure as possible.
Instructor Notes: Present the following key points.

- As was evident on 9-11, force protection must be a primary consideration in an environment where responders may be a primary or secondary target.

- Incident security requires:
  - Distinguishing agency personnel who have been dispatched from those who self-dispatched.
  - Identifying and credentialing officially dispatched mutual aid resources.
  - Establishing controlled points of access for authorized personnel.
Instructor Notes: Present the following key points.

Tracking resources efficiently while they are on the incident is essential for personnel safety, accountability, and fiscal control. Resource tracking responsibilities on the incident are shared between:

- The **Planning Section**, which is responsible for tracking all resources assigned to the incident and their status (assigned, available, out of service).

- The **Operations Section**, which is responsible for tracking the movement of resources within the Operations Section itself and reporting the movement of resources to the Planning Section.

- The **Finance/Administration Section**, which is responsible for ensuring the cost-effectiveness of resources.
ICS classifies tactical resources into one of three categories based on their status. These categories are:

- **Assigned** – Currently working on an assignment under the direction of a supervisor
- **Available** – Ready for immediate assignment and has been issued all required equipment
- **Out of Service** – Not available or ready to be assigned (e.g., maintenance issues, rest periods)
Instructor Notes: Present the following key points.

- Resource status on an incident is maintained and changed by the supervisor who has the resources under assignment.

- During larger incidents a Resources Unit, if established, will also maintain status on all resources assigned to the incident. The Resources Unit will not on its own authority change the status of resources.

- All changes in status that last for more than a few minutes must be communicated to the appropriate organizational element. The individual who makes the status change is responsible for making sure the change is communicated to the person or Unit responsible for maintaining overall resource status at the incident.

- Depending on the levels of activation within the incident organization, changes in resource status may be made by the Incident Commander, the Operations Section Chief, the Branch Director, or the Division/Group Supervisor. Information about the status change will be passed to the Resources Unit of the Planning Section.
There are several status-keeping methods or systems that can be used to keep track of resources at incidents.

Below are examples of systems. (Note that no single system is recommended.)

- **Manual Recordkeeping on Forms.** The following ICS forms can be used for resource tracking: the resources summary of the Incident Briefing (ICS Form 201), Check-In List (ICS Form 211), and Assignment List (ICS Form 204).

- **Card Systems.** Several versions are available that allow for maintaining status of resources on cards. One of these systems has different colored T-shaped cards for each kind of resource. The cards are formatted to record various kinds of information about the resource. The cards are filed in racks by current location.

- **Magnetic Symbols on Maps or Status Boards.** Symbols can be prepared in different shapes, sizes, and colors with space to add a resource designator. The symbols are placed on maps or on boards indicating locations designated to match the incident.

- **Computer Systems.** A laptop computer can be used with a simple file management or spreadsheet program to maintain information on resources. These systems can be used to compile check-in information and then maintained to reflect current resource status.
Instructor Notes: Present the following key points.

The Planning “P” is used to illustrate the incident planning process.

Resource use is:

- Monitored on an ongoing basis.
- Assessed before objectives are set for the next operational period.
Instructor Notes: Present the following key points.

Evaluation of resource performance involves monitoring, evaluating, and adjusting the performance of the organization and its components to ensure that all efforts are directed toward achieving the specified objectives.

Resources should be evaluated:

- On an ongoing basis as part of resource monitoring.
- At demobilization, upon the achievement of the assigned tactical objectives. The Incident Personnel Performance Rating (ICS Form 225) may be used for the demobilization evaluation.
- During after-action reporting.
Instructor Notes: Present the following key points.

- While some poor performance is due to the lack of motivation on the part of assigned personnel, it is more likely that management actions have produced or contributed to the problem.

- Management actions that may cause poor performance include the following:
  - Incident objectives, strategies, or tactics are unrealistic or poorly defined.
  - The wrong resource was allocated for the assignment.
  - There are inadequate tactical resources, logistical support, or communications.
  - The resource is not trained or properly equipped for the assignment.
  - Conflicting agency policies or procedures prevent the resource from carrying out the assignment.

- Failure at the tactical level is likely to reflect a failure to appropriately manage the resource during the planning process.

- Evaluation needs to go on constantly and corrections made as necessary throughout the life of the incident.
Activity: Improving Performance Effectiveness

Instructions:
1. Working as a team, review your assigned problem statement.
2. Answer the following questions:
   - What is the cause of the performance problem?
   - Who in the Command and General Staff need to address the problem?
   - What are some strategies for preventing or solving this problem?
3. Select a spokesperson and be prepared to present your work in 15 minutes.

Instructor Notes: Present the following key points.

Present the following instructions to the participants:

1. Working as a team, review your assigned problem statement.
2. Answer the following questions:
   - What is the cause of the performance problem?
   - Who in the Command and General Staff need to address the problem?
   - What are some strategies for preventing or solving this problem?
3. Select a spokesperson and be prepared to present your work in 15 minutes.

Monitor the time. After 15 minutes, call time.

Conduct the activity discussion as follows:

1. Ask the spokesperson from the first team to present the performance issue and answers to the questions.
2. Using the sample strategies on the next pages, present any points not covered by the participants.
3. Next, ask the spokesperson from the second team to present.
4. Continue this process until all teams have presented.
On a recent incident, the following performance issues have arisen.

**Performance Issue #1:** A local volunteer organization has personnel assigned to the Logistics Section to assist in providing meals to responders. One volunteer arrived for work visibly impaired, and informed his coworkers that he had “just a couple of drinks to relax” before coming to work.

**Strategy:**

**If not covered, provide the following class solution:** Release the volunteer from incident duties. Contact a supervisor and do not allow the volunteer to drive. Alcohol/drug use and safety issues are paramount. The Ground Support Unit Leader (if assigned), the Logistics Section Chief, and the Liaison Officer should be involved. The release could be politically sensitive because of the involvement of a cooperating agency and the alleged activity.

**Performance Issue #2:** Resource tracking is poor. Check-In Recorders are providing incomplete or inaccurate information from responding resources. Some resources have evidently responded, worked, and gone home without ever having checked in. Additionally, resources obtained through a mutual aid agreement that are no longer needed remain at the incident site.

**Strategy:**

**If not covered, provide the following class solution:** This problem could be the result of lack of experience, poor training, and/or understaffing of the Resources Unit. Provide on-the-job training for Check-In Recorders. Ensure that appropriate check-in locations have been activated and staffed, and that Operations knows where they are. Reinforce the need for resource tracking with Operations Supervisors. The Finance and Administration Section is accountable for monitoring that resources are used in a cost-effective manner. The Operations Section should be working with the Planning Section to establish a Demobilization Plan so that resources are released in a timely manner.

**Performance Issue #3:** Evacuation Division B is using non-uniformed personnel to deliver evacuation instructions door-to-door within the community. Compliance with the evacuation order is very poor, and 911 has been deluged with calls from the affected public asking if the evacuation order is official.

**Strategy:**

**If not covered, provide the following class solution:** This is the wrong resource for the assignment. Reassign or release the non-uniformed personnel, and use uniformed officers to deliver instructions. Use media to clarify the evacuation instructions. Involve the Operations Section Chief, Evacuation Group Supervisor, Public Information Officer, and Incident Commander.
Performance Issue #4: A police officer at a traffic control point was struck by a motorist and received minor injuries. She was taken to the hospital by a witness to the accident, treated, and released. The first that incident management staff hear of the problem is when asked by the media at a press conference.

Strategy:

If not covered, provide the following class solution: This is a communications failure at several levels. The Safety Officer, Logistics Section Chief, Operations Section Chief, and Medical Unit Leader should review medical procedures and ensure that the Medical Plan is complete, clearly documented, and thoroughly covered at each operations briefing.

Performance Issue #5: Self-dispatched resources are arriving at the Staging Area. In the confusion, several of these resources who were assigned to Task Forces now appear to lack the skills needed to operate equipment or execute orders.

Strategy:

If not covered, provide the following class solution: Self-dispatched resources are well meaning but create safety and resource management concerns. In this situation, the first problem is the lack of perimeter security. The Incident Command must act early to establish perimeter security, especially if the incident may also be a crime scene. In addition, it appears that prior to the incident there was no systematic program in place to credential personnel. The Staging Area Manager should establish procedures for ensuring that only qualified personnel are assigned to tactical operations.

Performance Issue #6: The 5 o’clock news features a prominent interview with an incident responder at the Staging Area. The responder is not a member of the Public Information staff and has not been given an active assignment (or even seen the actual scene of the train wreck), but is waxing eloquently about how poorly the incident is being managed.

Strategy:

If not covered, provide the following class solution: The Public Information Officer (PIO) and Operations Section Chief should make sure that all incident personnel understand the procedures for dealing with public information. The PIO should consider assigning an Assistant PIO to the Staging Area and any other locations that could logically draw press attention, and should discuss procedures with members of the media to make sure incident public information processes are meeting the needs of the media.
Instructor Notes: Present the following key points.

The next phases of the resource management cycle include resource recovery, demobilization, and reimbursement.

- **Recovery** involves the final disposition of all resources, including those located at the incident site and at fixed facilities. During this process, resources are rehabilitated, replenished, disposed of, and/or returned.

- **Demobilization** is the orderly, safe, and efficient return of an incident resource to its original location and status. It can begin at any point of an incident, but should begin as soon as possible to facilitate accountability of the resources. The demobilization process should coordinate between incident(s) and multiagency coordination systems for the reassignment of resources if necessary, and to prioritize critical resource needs during demobilization.

- **Reimbursement**, when applicable, provides a mechanism to recoup funds expended for incident-specific activities. In many cases, resources rendered may or may not be reimbursed based upon pre-incident agreements. Reimbursement processes play an important role in establishing and maintaining the readiness of resources and should be in place to ensure that resource providers are reimbursed in a timely manner. These processes should include mechanisms for collecting bills, validating costs against the scope of the work, ensuring that proper authorities are involved, and accessing reimbursement programs. Reimbursement mechanisms should be included in preparedness plans, mutual aid agreements, and assistance agreements.
Instructor Notes: Present the following key points.

- On most incidents, resource needs follow a predictable arc that corresponds to the arc followed by the incident itself.

- Initially, the incident may build faster than resources can arrive. Eventually, sufficient resources arrive and begin to control the incident. As the incident declines, resources then exceed incident needs and demobilization can begin.
RECOVER, DEMOBILIZE, AND REIMBURSE

Resource Demobilization

- Excess resources must be released in a timely manner to reduce costs, and to "free them up" for reassignments.
- Demobilization planning should begin almost immediately.
- Demobilization planning begins with the tactical resources assigned to the Operations Section. As tactical resources are released, support resources may also be reduced.

Instructor Notes: Present the following key points.

- Excess resources must be released in a timely manner to reduce incident-related costs and to "free up" resources for other assignments.
- The planning for demobilization should begin in the very early stages of the incident and certainly well in advance of when demobilization actually takes place.
- The process of demobilizing resources begins at the Operations Section level, where the need for continued tactical resources will be determined.
- When tactical resources are no longer needed, other parts of the organization may also be reduced.

The next unit covers demobilization planning.
Instructor Notes: Present the following key points.

This unit provides alternative activities. To prepare for this activity, refer to the activity file on your resource CD. Note that you must continue with the scenario selected in the previous units.

Instructor Note:

- Continue with the scenario you selected in the previous units.

- Prior to conducting the training, make copies of the student handout. Make one copy for each participant.
SUMMARY

Instructor Notes: Present the following key points.

Ask the participants if they are able to:

- Identify and describe basic principles of resource management.
- Identify the basic steps involved in managing incident resources.
- Identify key considerations associated with resource management and the reasons for each.
- Describe how ICS Form 215, Operational Planning Worksheet, is used to manage incident or event resources.
SUMMARY

Instructor Notes: Present the following key points.

Ask the participants if they are able to:

- Identify the organizational elements at the incident that can order resources.
- Describe the differences between single-point and multipoint resource ordering and the reasons for each.

Ask the participants if they have any questions about resource management. Explain that the next unit presents information on demobilization, transfer of command, and closeout.
UNIT 7: DEMOBILIZATION, TRANSFER OF COMMAND, AND CLOSEOUT
This page intentionally left blank.
Unit Objectives

At the end of this unit, the participants should be able to:

- Describe the importance of demobilization planning.
- Identify the impact of agency-specific policies, procedures, and agreements upon demobilization planning.
- Identify the ICS titles of personnel who have responsibilities in developing and implementing the Demobilization Plan and list their duties.
- List the major sections in a Demobilization Plan.
- Identify the need for transfer of command or closeout.
- Identify the process involved in a closeout meeting.

Scope

- Unit Introduction and Objectives
- Demobilization
- Activity: Reviewing the Demobilization Plan
- Transfer of Command
- Closeout
- After-Action Review
- Applied Activity
- Summary

Methodology

The instructor will begin this unit by providing the unit objectives and explaining that the unit focuses on the demobilization, transfer of command, and closeout of an incident/event, including: the importance of demobilization planning; the impacts of agency-specific policies, procedures, and agreements on demobilization planning; personnel who have responsibilities for developing and implementing the Demobilization Plan; major sections of the Demobilization Plan; ICS Form 221, Demobilization Checkout; procedures for transfer of command of a de-escalating incident; and procedures for incident closeout.

The instructor will describe the importance of demobilization planning and then identify the impacts of agency-specific policies, procedures, and agreements on demobilization planning. Next, the instructor will identify the ICS titles and duties of personnel who have responsibilities for developing and implementing the Demobilization Plan, and the ICS Form 221, Demobilization Checkout. The instructor will then identify the major sections of the Demobilization Plan. The participants will then complete an activity in which they review a sample Demobilization Plan. Finally, the instructor will identify the procedure for transfer of command of a de-escalating incident, identify the procedure for incident closeout, and describe the process involved in conducting an after-action review.
Unit 7: Demobilization, Transfer of Command, and Closeout

Methodology (Continued)

The scenario for the applied activity involves demobilization planning for the simulated incident begun in the previous units. Teams will complete the following activities:

- Review the information developed in all of the previous scenario activities and the scenario update.
- Write a Demobilization Plan using the five elements described in this unit.
- Develop a detailed Transfer of Command briefing to be delivered to the Incident Commander who will supervise the recovery efforts/cleanup.

At the end of this unit, the instructors will answer any questions from participants and summarize the key points of the unit. The instructor will then transition to Unit 8: Course Summary.

Materials

- PowerPoint visuals 7.1 – 7.25
- Instructor Guide
- PowerPoint slides and a computer display system
- Student Manual

Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

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<tr>
<th>Topic</th>
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<tbody>
<tr>
<td>Unit Introduction and Objectives</td>
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<tr>
<td>Demobilization</td>
<td>15 minutes</td>
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<tr>
<td>Activity: Review the Demobilization Plan</td>
<td>15 minutes</td>
</tr>
<tr>
<td>Transfer of Command</td>
<td>5 minutes</td>
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<tr>
<td>Closeout and After-Action Review</td>
<td>10 minutes</td>
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<tr>
<td>Applied Activity</td>
<td>75 minutes</td>
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<tr>
<td>Summary</td>
<td>5 minutes</td>
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<tr>
<td><strong>Total Time</strong></td>
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Instructor Notes: Present the following key points.

Introduce this unit by presenting the following points:

- All incidents eventually draw to a close. How the incident is downsized and closed out is an important part of incident management.

- This unit focuses on the demobilization process, transfer of command, and incident closeout.
UNIT OBJECTIVES

Visual 7.2

Unit Objectives (1 of 2)

- Describe the importance of demobilization planning.
- Identify the impact of agency-specific policies, procedures, and agreements upon demobilization planning.
- Identify the ICS titles of personnel who have responsibilities in developing and implementing the Demobilization Plan and list their duties.

Instructor Notes: Present the following key points.

Show the next two visuals and review the unit objectives with the class. Tell the participants that by the end of this unit, they should be able to:

- Describe the importance of demobilization planning.
- Identify the impact of agency-specific policies, procedures, and agreements upon demobilization planning.
- Identify the ICS titles of personnel who have responsibilities in developing and implementing the Demobilization Plan and list their duties.
UNIT OBJECTIVES

Instructor Notes: Present the following key points.

Continue presenting the unit objectives:

- List the major sections in a Demobilization Plan.
- Identify the need for transfer of command or closeout.
- Identify the process involved in a closeout meeting.
DEMOBILIZATION

Instructor Notes: Present the following key points.

- Demobilization involves the release and return of resources that are no longer required for the support of an incident/event.

- The release and return of resources may occur during an incident/event or after the incident/event is over.

Refer to the job aid on the next page for additional information on anticipating the workload involved in planning for demobilization.
DEMobilization Considerations

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<th>Demobilization Considerations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Public Information Officer</strong></td>
<td>Press interest may taper off toward the end of the incident, especially when tactics turn from life safety to cleanup. As the incident demobilizes, the need for interagency coordination of information may also decline. While it is important that the press continue to have a contact at the incident, it may be possible for the Public Information Officer to scale back operations.</td>
</tr>
<tr>
<td><strong>Safety Officer</strong></td>
<td>As the number of tactical operations at an incident decreases, the demand on the Safety Officer will also decline. However, some incidents require post-incident debriefings that will require the input of the Safety Officer. While the workload may level out, it may remain until the end of the incident.</td>
</tr>
<tr>
<td><strong>Liaison Officer</strong></td>
<td>As cooperating and assisting agency resources are demobilized, the Liaison Officer’s job will become less complex. The Liaison Officer is also likely to be involved in interagency post-incident review activities that may require continued presence at the incident and involvement after final demobilization.</td>
</tr>
<tr>
<td><strong>Operations Section</strong></td>
<td>The Operations Section Chief should be able to reduce support staff such as Deputies and Staging Area Managers as the Operations Section is demobilized.</td>
</tr>
<tr>
<td><strong>Planning Section</strong></td>
<td>In the Planning Section, the later workload falls on the Demobilization and Documentation Units. The Demobilization Unit will develop the Demobilization Plan and monitor its implementation. The Documentation Unit will package all incident documentation for archiving with the responsible agency or jurisdiction. Both of these processes are finished late in the incident.</td>
</tr>
<tr>
<td><strong>Logistics Section</strong></td>
<td>The Supply Unit and the Facilities Unit play major roles as the incident winds down. The Facilities Unit will need to demobilize the incident facilities, such as the Command Post and incident Base. The Supply Unit must collect, inventory, and arrange to refurbish, rehabilitate, or replace resources depleted, lost, or damaged at the incident.</td>
</tr>
<tr>
<td><strong>Finance and Administration Section</strong></td>
<td>Many of the activities of the Finance and Administration Section continue well after the rest of the organization has been demobilized. Much of the paperwork needed to document an incident is completed during or after demobilization.</td>
</tr>
</tbody>
</table>
Instructor Notes: Present the following key points.

- **Nonexpendable Resources**: These resources (such as people, fire engines, and other durable equipment) are fully accounted for during the incident and again when they are returned to the organization that issued them. The issuing organization then restores the resources to fully functional capability and readies them for the next mobilization. Broken and/or lost items should be replaced through the appropriate resupply process, by the organization with invoicing responsibility for the incident, or as defined in pre-incident agreements.

  It is critical that fixed facility resources also be restored to their full functional capability in order to ensure readiness for the next mobilization. In the case of human resources, such as Incident Management Teams, adequate rest and recuperation time and facilities should be provided. Important occupational health and mental health issues should also be addressed, including monitoring how such incidents affect emergency management/response personnel over time.

- **Expendable Resources**: Expendable resources (such as water, food, fuel, and other one-time-use supplies) must be fully accounted for. The incident management organization bears the costs of expendable resources, as authorized in financial agreements executed by preparedness organizations.

  Restocking occurs at the point from which a resource was issued. Returned resources that are not in restorable condition (whether expendable or nonexpendable) must be declared as excess according to established regulations and policies of the controlling jurisdiction, agency, or organization. Waste management is of special note in the process of recovering resources, as resources that require special handling and disposition (e.g., biological waste and contaminated supplies, debris, and equipment) are handled according to established regulations and policies.
DEMOBILIZATION

Instructor Notes: Present the following key points.

Ask the participants: What challenges are related to demobilization?

Ask for volunteers to answer the question. If not mentioned by the participants, add the following:

- Planning for demobilization is often overlooked, leading to problems such as disgruntled responders or tragic accidents en route home.
- As incidents wind down, many personnel may be anxious to return home.
- Fiscal concerns sometimes require verification of the total time that a resource is assigned to an incident.
- Any nonconsumable supplies that were provided to the incident must be returned.
- Certain laws require that sufficient rest be provided to some drivers before driving home.
Instructor Notes: Present the following key points.

Demobilization planning helps to:

- Eliminate waste.
- Eliminate potential fiscal and legal impacts.
- Ensure a controlled, safe, efficient, and cost-effective release process.
Instructor Notes: Present the following key points.

- On smaller incidents, resources are released to finish shifts or work periods. Demobilization planning is obscure and rests with the Incident Commander and typical agency protocols. But on longer duration incidents, resources may have worked in excess of agreed-upon work schedules or may have traveled well out of their jurisdiction. The Finance/Administration Section may require documentation prior to outside agencies departing the incident.

- In some cases, a priority of release may be necessary if all resources cannot be processed for release at the same general time. Agency policy or work rules may impact this priority. There may be local, regional, or national guidance on release priorities for incident resources.

- Agency policies, procedures, and agreements must be considered by the incident management prior to releasing resources. For example, if the drivers of large vehicles carry special licenses (commercial rating, for example), they may be affected by State and Federal regulations for the amount of rest required before a driver can get back on the road.

- Some agencies may require that the vehicle be inspected by incident personnel for damage caused by use on the incident and that damage claims be properly documented, etc. If an injury occurred while on the incident, worker’s compensation laws may apply and documentation must be completed in a timely manner.
Instructor Notes: Present the following key points.

The primary roles of the Incident Commander and the Sections in demobilization planning:

- **Incident Commander**: Approves resource orders and demobilization.

- **Operations Section**: Identifies operational resources that are, or will be, excess to the incident and prepares list for Demobilization Unit Leader.

- **Planning Section**: Develops and implements the Demobilization Plan.

- **Logistics Section**: Implements transportation inspection program and handles special transport needs.

- **Finance/Administration Section**: Processes claims, time records, and incident costs, and assists in release priorities.
Demobilization Plan: Information Needs

<table>
<thead>
<tr>
<th>What Information Is Needed</th>
<th>Who Provides?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excess resources; release priorities</td>
<td>All Incident Supervisors and Managers</td>
</tr>
<tr>
<td>Plan development; resource information; demobilization process</td>
<td>Planning Section</td>
</tr>
<tr>
<td>Continuing needs for tactical resources</td>
<td>Operations Section</td>
</tr>
<tr>
<td>Transportation availability; communications; maintenance</td>
<td>Logistics Section</td>
</tr>
<tr>
<td>Claims, time records, and costs of individual resources that are a factor in release</td>
<td>Financial/Admin Section</td>
</tr>
<tr>
<td>Agreements regarding other agency resources</td>
<td>Liaison Officer</td>
</tr>
<tr>
<td>Physical condition of personnel; physical needs; adequacy of transportation</td>
<td>Safety Officer</td>
</tr>
<tr>
<td>Return and reassignment of resources</td>
<td>Agency Dispatch/Ordering Centers</td>
</tr>
</tbody>
</table>

ICS titles of personnel who have responsibilities in demobilization planning:

- **All Incident Supervisors and Managers**: Identify excess resources and provide list and priorities to the Demobilization Unit.
- **Planning Section**: Coordinate the development of the Demobilization Plan. The Demobilization Unit Leader develops the specific, individual plan document and outline of the process. The Resources Unit Leader assists the Demobilization Unit Leader in determining total resources assigned, home units, length of assignment, and travel needs.
- **Operations Section**: Identifies continuing needs for operational resources and those that are, or will be, excess to the incident, and prepares the list for the Demobilization Unit Leader.
- **Logistics Section**: Handles special transportation and communications needs and implements vehicle inspection program.
- **Finance/Administration Section**: Processes claims, time records, and incident costs, and helps determine release priorities.
- **Liaison Officer**: Identifies terms of agreements with assisting agencies in regard to release of the resources and special needs.
- **Safety Officer**: Considers physical condition of personnel and ensures that supervisors assess their subordinates’ ability to travel.
- **Agency Dispatch Centers and Ordering Points**: Provide information for reassignment of released resources to other incidents.
Instructor Notes: Present the following key points.

The Demobilization Plan should contain the following sections:

- General information about the demobilization process.
- Responsibilities for implementation of the Demobilization Plan.
- General release priorities.
- Specific release procedures.
- Travel information (procedures, maps, telephone listings, etc.).

Demobilization planning can be quite complex on large, multiagency incidents. Training and experience will help ensure that personnel with demobilization planning responsibilities perform their jobs accurately.

Refer to the sample Demobilization Plan on the next pages.

Give the participants time to review the plan.
SAMPLE DEMOBILIZATION PLAN (Page 1 of 5)
NORTH SMITHMAN INCIDENT

Prepared by
Planning Section Chief

Approved by
Logistics Section Chief

Approved by
Operations Section Chief

Approved by
Finance Section Chief

Approved by
Supervisor-Expanded Dispatch

Approved by
Incident Commander
The Demobilization Plan contains five (5) sections:

1. General Information
2. Responsibilities
3. Release Priorities
4. Release Procedures
5. Travel Information

1. GENERAL INFORMATION

The demobilization process at the North Smithman Incident will require coordination with the Unified Command Team and the Expanded Dispatch function. All resources with their own transportation must meet rest/work guidelines prior to driving.

All releases from the Smithman Incident will be initiated in the Demob Unit after Incident Commander approval. The size and location of the Incident Base lends itself to the holding of surplus equipment and personnel during the time it takes to process all of the releases in a safe and efficient manner. No resources are to leave the Incident until authorized to do so. At this time, no off-Incident Demob Center will be activated. The Logistics Section will provide for all necessary transportation of released personnel and equipment. The Demob Unit will arrange for any needed flight arrangements through Expanded Dispatch.

The following are general guidelines to be followed for resources that are leaving the Incident.

A. No person will be released without having a minimum of eight (8) hours rest, unless specifically approved by the IC.

B. All Federal resources must be able to arrive at their home base prior to 2200 (10 PM). Other agencies and cooperators must meet individual agency regulations pertaining to rest and travel.

C. All Party Chiefs, Crew Supervisors, and Strike Team Leaders will be thoroughly briefed prior to leaving the Incident. Briefing to include: 1. method of travel, 2. passengers (if any), 3. destination, 4. ETD Camp/ETA home base, and 5. transportation arrangements.

All personnel returning home on commercial aircraft will be showered and wear clean clothing.

To prevent delays and work overloads, Logistics and Finance will be notified as soon as possible when surplus resources are to be Demobed. (Demob will try to advise the two Units 24 hours in advance.) Notification of Incident personnel will be by posting of "Tentative Releases" 12 hours in advance. Crew Supervisors may also be paged when the Demob process is to begin.

If applicable, all oversize vehicles (e.g., transports) MUST have appropriate permits to comply with State vehicle codes.
SAMPLE DEMOBILIZATION PLAN (Page 3 of 5)

Performance Ratings are required for:
- Trainees
- Outstanding performance
- Deficient performance
- By personal request

All firefighting apparatus, rental equipment, and crew transport will have a vehicle inspection (Safety Check) at Ground Support prior to returning to their home unit or new assignment location. Pickups, sedans, and vans will also have a safety check by the Ground Support Unit before departing the Incident Base.

2. RESPONSIBILITIES

Functional heads (i.e., Section Chiefs and Unit Leaders) are responsible for determining resources surplus to their needs and submitting lists to the Demob Unit Leader.

The Demob Unit Leader is responsible for:
- Compiling "Tentative" and "Final" Release sheets. (Any Incident-formed Strike Teams and Task Forces must be disbanded before Incident Commander approval and release from the Incident.)
- Making all notifications to Incident and off-Incident personnel regarding tentative and final releases (includes Tanker and Helibases).
- Making sure that all signatures are obtained on the Demob Checkout form.
- Monitoring the Demob process and making any adjustments in the process.

The Incident Commander is responsible for:
- Establishing the release priorities through consultation with Unified Command.
- Reviewing and approving all tentative release lists.

The Logistics Section Chief is responsible for ensuring through:
- Facilities—that all sleeping and work areas are cleaned up before personnel are released.
- Supply—that all non-expendable property items are returned or accounted for prior to release.
- Ground Support—that there will be adequate ground transportation during the release process and that vehicles are inspected.
- Communications—that all radios have been returned or are accounted for.
- Food Unit—that there will be adequate meals for those being released and for those remaining in camp.
SAMPLE DEMOBILIZATION PLAN (Page 4 of 5)

The Finance Section Chief is responsible for:

- Completion of all time and equipment reports for released personnel.
- Notification(s) for any ADO payoff(s).

The Planning Section Chief is responsible for managing duration of assignment policy for the Incident Commander.

Expanded Dispatch is responsible for:

- Reviewing tentative releases and notifying the Demob Unit Leader with release approvals, reassignments, and air travel information.
- Coordinating with the Rocky Mountain Coordination Center.

3. RELEASE PRIORITIES

The following release priorities have been established by the Unified Command Team:

1. Initial attack or local cooperators
2. Type 1 Crews
3. Non-local engines, crews, and overhead
4. Other local resources

Crews from other Regions will be grouped for demob when possible. Emergency situations will arise and will be handled expeditiously. Clearance for emergency demob is to be approved by the appropriate Section Chief, IC, or Agency Representative.

4. RELEASE PROCEDURES

Critical resources will be identified on the Daily Incident Commander conference calls. These resources will be listed in the Unified Command Action Plan and these resources cannot be released from the Incident without Unified Command approval.

All resources requiring airline travel must be submitted to Expanded Dispatch 36 hours in advance of planned travel. All other resource surpluses should be forwarded to Expanded Dispatch 24 hours in advance of planned release. Demob will also give Ground Support lead time to arrange for ground transportation for crews and individuals needing transportation.

Functional heads will identify surpluses within their units and submit a list (or lists) to the Demob Unit Leader in the Planning Section. The Demob Unit will combine lists and form a "Tentative Release" list to be submitted to the Incident Commander for review and approval. Demob will work with the Resources Unit so that the resource status board can be kept up to date.
SAMPLE DEMOBILIZATION PLAN (Page 5 of 5)

After Incident Commander approval, Demob will notify Expanded Dispatch of the tentative releases for their concurrence. When concurrence is obtained from Expanded Dispatch, the Demob Unit Leader will:

- Prepare transportation manifests.
- Notify personnel to be released.
- Give crew leaders or individuals the final release form and briefing.

Crew leaders or individuals will take the ICS Form 221, Demobilization Check-Out form, to:

- Communications Unit Leader (if radio equipment has been issued)
- Facilities Unit Leader (to be sure sleeping area is clean)
- Supply Cache (to return all non-expendable property)
- Ground Support (for vehicle inspections)
- Finance (for time)
- Demob (last stop for final departure times and documentation)

The Demob Unit will:

- Notify the Resources Unit so that “T” card information is complete.
- Notify Expanded Dispatch of ETD, ETA, destination, and travel arrangements.
- Collect and send all Demob paperwork to the Documentation Unit.

5. TRAVEL INFORMATION

All resources will meet work/rest requirements prior to being released from the incident. Crews traveling on commercial aircraft will be given time to shower and dress in clean clothes. Any heavy or oversize equipment MUST have appropriate permits and follow any limitations on the movement of their equipment on public highways. All resources will meet any agency-specific requirements on hours of travel per day or other restrictions concerned with travel. Incident Demob will notify Expanded Dispatch when a resource is released, so the home Forest/Agency can be advised with an ETA. It will then be up to the sending Forest/Agency to keep track of released resources and report back if there are any problems or if more information is needed.

Incident Phone Numbers

North Smithman Demob: XXX-XXX-XXXX   Expanded Dispatch: XXX-XXX-XXXX

Individual resources are to notify either the North Smithman Incident or Expanded Dispatch at the above numbers and their home unit dispatcher if significant delays occur en route to their next destination.
ACTIVITY: REVIEWING THE DEMOBILIZATION PLAN

Instructor Notes: Present the following key points.

Ask the participants to work in teams to complete the following activities:

1. Review the sample Demobilization Plan for the cruise ship hazmat incident found in your Student Manuals. (See next two pages.)
2. Next, determine whether the five elements required for a Demobilization Plan are adequately addressed in the sample.
3. Record your work on chart paper as shown in the visual (Strengths and Areas for Improvement).
4. Select a spokesperson and be prepared to present your work in 10 minutes.

Monitor the time. After 10 minutes, call time.

Conduct the activity discussion as follows:

1. Ask the spokesperson from the first team to present one strength the team identified.
2. Next, ask the spokesperson from the second team to present a different strength the team identified.
3. Continue the process for identifying strengths and areas for improvement until all teams have presented.
4. Summarize the main learning points for this activity. If not mentioned by the participants, note that the sample Demobilization Plan contains all of the required elements. Additional detail about release procedures could be added.
ACTIVITY: REVIEWING THE DEMOBILIZATION PLAN

Sample Demobilization Plan
Cruise Ship HazMat Incident (Page 1 of 2)

General Information

- No incident resources will be demobilized until authorized.
- Logistics Section Chief will provide transportation to final destination, if required.
- Personnel being released from the incident will be required a minimum 4 hours rest prior to demobilization. Any delineation from the required rest will be at the discretion of the Incident Commander.
- Plans Section Chief will brief all unit leaders on the Demobilization Plan

Responsibilities

- Each section chief will identify excess resources on a daily basis by 1800 hours each day.
- Plans Section Chief will advise the IC of excess resources daily.
- The incident Commander will approve the release of those resources.
- The Logistics Section Chief will arrange transportation, if necessary.
- Each unit leader is responsible for calling the Yorktown ICP upon arrival at final destination (see directory).
- The Resource Unit Leader will provide a recorder to the Demob Unit

Release Priority

- USCG helicopter and crew will be demobilized first, if possible
- Any other USCG elements
- Any East or Central based NPS crews
- West Coast crews
- Any other NPS resources

Release Procedures

- Plans Section Chief or Demob Unit will prepare manifests and notify personnel to be released
- Plans Section Chief will provide ICS 221 (Demobilization Checkout) with copy of transportation manifest and briefing on travel arrangements
- Inform unit leaders that they will go through the following:
  - Logistics Section Chief to turn in expendable and non-expendable equipment
  - Time Recorder to ensure all time is turned in
  - Sign affidavit to certify that no undocumented injuries have occurred
  - Documentation Unit to turn in all logs (ICS-214), evaluations, and completed ICS-221
ACTIVITY: REVIEWING THE DEMOBILIZATION PLAN

Sample Demobilization Plan
Cruise Ship HazMat Incident (Page 2 of 2)

<table>
<thead>
<tr>
<th>Directory</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>YC ICP</td>
<td>XXX-XXX-XXXX</td>
</tr>
<tr>
<td>YC Helibase</td>
<td>XXX-XXX-XXXX</td>
</tr>
<tr>
<td>NPS Dispatch, GB</td>
<td>XXX-XXX-XXXX</td>
</tr>
<tr>
<td>USCG HQ, Juneau</td>
<td>XXX-XXX-XXXX</td>
</tr>
</tbody>
</table>
Instructor Notes: Present the following key points.

The Demobilization Check-Out (ICS 221):

- Ensures that resources checking out of the incident have completed all appropriate incident business, and provides the Planning Section information on resources released from the incident.

- Is initiated by the Planning Section, or a Demobilization Unit Leader if designated. The Demobilization Unit Leader completes the top portion of the form and checks the appropriate boxes in Block 6 that may need attention after the Resources Unit Leader has given written notification that the resource is no longer needed. The individual resource will have the appropriate overhead personnel sign off on any checked box(es) in Block 6 prior to release from the incident.

After completion, the ICS 221 is returned to the Demobilization Unit Leader or the Planning Section. All completed original forms must be given to the Documentation Unit. Personnel may request to retain a copy of the ICS 221.
TRANSFER OF COMMAND

Instructor Notes: Present the following key points.

When an incident stabilizes or de-escalates:

- The need for incident management may also be reduced.
- A transfer of command should be considered.
TRANSFER OF COMMAND

Instructor Notes: Present the following key points.

Note that Unit 4 addressed transfer of command.

Then ask the question: What steps must the incoming Incident Commander take before assuming command?

Show the next visual and review the steps in assuming command.
TRANSFERS OF COMMAND

Instructor Notes: Present the following key points.

Steps involved in assuming command:

<table>
<thead>
<tr>
<th>Incoming Incident Commander (Assuming)</th>
<th>Outgoing Incident Commander (Transferring)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assess situation with current IC.</td>
<td>Assess situation with incoming IC.</td>
</tr>
<tr>
<td>Receive briefing</td>
<td>Deliver briefing.</td>
</tr>
<tr>
<td>Determine appropriate time for transfer of command</td>
<td>Determine appropriate time for transfer of command</td>
</tr>
<tr>
<td>Notify others of change in command.</td>
<td>Notify others of change in command.</td>
</tr>
<tr>
<td>Reassign or demobilize current IC.</td>
<td>Accept new assignment or demobilize.</td>
</tr>
</tbody>
</table>
TRANSFER OF COMMAND

Instructor Notes: Present the following key points.

The briefing of the receiving Incident Commander should contain the following information:

- Current situation and prognosis
- Resources remaining and their status
- Particular areas of concern (political, community interest, etc.)
- Logistical support needed or retained
- Turnover of appropriate incident documentation

Ask the participants if they would add anything to the items listed on the visual.
CLOSEOUT

Instructor Notes: Present the following key points.

- The Incident Commander will stay with the incident until its absolute conclusion and the "closing out" of the incident. The person filling the position of Incident Commander may change.

- At some point, on-scene tactical operations will be completed, and the incident Command Staff will be demobilized. Team demobilization may include a formal "closeout" with the responsible agency or jurisdiction or jurisdictions, and should include an incident debriefing.
Instructor Notes: Present the following key points.

A closeout briefing is usually presented to the agency administrator, delegating authority, department head, etc., and includes the following information:

- Incident summary
- Discussion of major events within the incident that may have lasting ramifications
- Turnover of appropriate incident documentation, to include components that are not finalized
- Allowing an opportunity for the agency officials to bring up concerns prior to the incident ending
- A final evaluation of incident management by the agency executive/officials

Ask the participants to describe situations in which it would be important to conduct a closeout briefing.

If not mentioned by the participants, note the following situations:

- Major incidents that have attracted media interest.
- Incidents where there will be a need for longer term recovery efforts.
- Situations where there were important lessons learned for future responses.
CLOSEOUT

**Instructor Notes:** Present the following key points.

Tell the participants to think about the scenario used in the application activities in the past few units.

**Ask the participants:** Given this scenario, what agenda items would you include in a closeout briefing?

Record the items on chart paper and add any that you think should be added.
Instructor Notes: Present the following key points.

- In some cases, teams will have a closeout meeting either prior to or after the agency briefing to discuss team performance and future enhancements to their performance.

- These meetings are usually facilitated by the Planning Section Chief and result in a “lessons learned” listing.
Instructor Notes: Present the following key points.

An after-action review answers the following questions:

- What did we set out to do?
- What actually happened?
- Why did it happen?
- What are we going to do differently next time?
- Are there lessons learned that should be shared?
- What followup is needed?

Refer to the job aid on the next page. Give the participants a moment to review the job aid and then ask them to identify techniques or processes that they find effective in conducting after-action reviews.

Remind participants that Incident Action Plans, Demobilization Plans, and after-action reports are all public documents and as such are discoverable.
AFTER-ACTION REVIEW

Visual 7.22: Conducting an After-Action Review (Continued)

After-Action Review (AAR) Tips

Overall Tips
- Schedule an After-Action Review (AAR) as soon after the incident as possible.
- Keep it short and focused.
- Focus on WHAT, not WHO.
- Establish clear ground rules: encourage candor and openness (this is dialog—not lecture or debate); focus on items that can be fixed; keep all discussions confidential.
- Use a skilled facilitator to conduct the AAR.

AAR Process Steps

Use the following questions to facilitate the AAR process:

1. **What did we set out to do?**
   - Establish the facts.
   - Determine purpose of the mission and definition of success:
     - Identify key tasks involved.
     - Specify conditions under which each task may need to be performed (weather, topography, time restrictions, etc.).
     - Define acceptable standards for success (explain what “Right” looks like).

2. **What actually happened?**
   - Continue to establish the facts.
   - Participants should come to agreement on what actually happened.
   - Pool multiple perspectives to build a shared picture of what happened.

3. **Why did it happen?**
   - Analyze cause and effect.
   - Focus on WHAT, not WHO.
   - Provide progressive refinement for drawing out explanations of what occurred. This will lead into developing possible solutions.

4. **What are we going to do differently next time?**
   - Solutions will arise naturally once problems are identified and understood.
   - Focus on items you can fix, rather than external forces outside of your control.
   - Identify areas where groups are performing well and that should be sustained. This will help repeat success and create a balanced approach to the AAR.

   Areas To Sustain/Maintain Strengths:

   Areas To Improve:

5. **Are there lessons learned that should be shared immediately?**
   - Identify the process for sharing lessons learned.
   - Option 1: Document the Issue, Discussion, Recommendation
   - Option 2: Document the Concept of the Operation, Results, Trends, Recommendation
   - Determine and describe the most notable successes from the incident.
   - Determine and describe the most difficult challenges faced and how they were overcome.
AFTER-ACTION REVIEW

Visual 7.22: Conducting an After-Action Review (Continued)

6. What followup is needed?
   • Be specific about actions, timelines, and responsibilities.
   • What changes, additions, or deletions are recommended to SOPs, plans, or training?
   • What issues were not resolved to your satisfaction and need further review?
Instructor Notes: Present the following key points.

This unit provides alternative activities. To prepare for this activity, refer to the activity file on your resource CD. Note that you must continue with the scenario selected in the previous units.

Instructor Note:

- Continue with the scenario selected in the previous units.

- Prior to conducting this class, you must make copies of the student handouts. Make one copy for each participant.
Instructor Notes: Present the following key points.

Ask participants if they are able to:

- Describe the importance of demobilization planning.
- Identify the impact of agency-specific policies, procedures, and agreements upon demobilization planning.
- Identify the ICS titles of personnel who have responsibilities in developing and implementing the Demobilization Plan and list their duties.
Instructor Notes: Present the following key points.

Ask participants if they are able to:

- List the major sections in a Demobilization Plan.
- Identify the need for transfer of command or closeout.
- Identify the processes involved in a closeout meeting.
Unit 7: Demobilization, Transfer of Command, and Closeout

Your Notes:
UNIT 8: COURSE SUMMARY
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Unit 8: Course Summary

Unit Objectives

At the end of this unit, the participants should be able to:

- Identify the course objectives.
- Take the final exam.

Scope

- Unit Introduction
- Course Objectives Review
- Exam Preparation and Instructions
- Exam
- Feedback and Closeout

Methodology

The unit begins with a review of the course objectives. The participants will discuss how well the course met these objectives.

Next, participants will be given time to review the course materials and prepare for the final exam. Instructors must address any questions that the participants have about the content. If time permits, the instructors should review the key points from each of the units.

The instructors will then provide instructions on taking the final exam. After the exam is completed, the instructors will emphasize to the group the importance of providing course feedback.

Materials

- PowerPoint visuals 8.1 – 8.4
- Instructor Guide
- PowerPoint slides and a computer display system
- Student Manual
Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit Introduction</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Course Objectives Review</td>
<td></td>
</tr>
<tr>
<td>Exam Preparation and Instructions</td>
<td>15 minutes</td>
</tr>
<tr>
<td>Exam</td>
<td>30 minutes</td>
</tr>
<tr>
<td>Feedback and Closeout</td>
<td>10 minutes</td>
</tr>
<tr>
<td><strong>Total Time</strong></td>
<td><strong>1 hour</strong></td>
</tr>
</tbody>
</table>
UNIT INTRODUCTION

Visual 8.1

Instructor Notes: Present the following key points.

The purpose of this unit is to review the course contents and ensure that everyone has mastered the key learning points.
COURSE OBJECTIVES REVIEW

Instructor Notes: Present the following key points.

Review the course objectives with the class. Ask the participants if they are now be able to:

- Describe how the NIMS Command and Management component supports the management of expanding incidents.
- Describe the incident/event management process for supervisors and expanding incidents as prescribed by ICS.
- Implement the incident management process on a simulated expanding incident.
- Develop an Incident Action Plan (IAP) for a simulated incident.
EXAM PREPARATION AND INSTRUCTIONS

Instructor Notes: Present the following key points.

Note: Additional guidance appears on the next page.

Present the following instructions:

1. Take a few moments to review your Student Manual and identify any questions.
2. Make sure that you get all of your questions answered prior to beginning the final test.
3. When taking the test . . .
   • Read each item carefully.
   • Circle your answer on the test.

→ You may refer to your Student Manuals when completing this test.

Tell the participants that they may refer to their Student Manuals when completing this test.
EXAM PREPARATION AND INSTRUCTIONS

Important Instructor Note: It is important that you allow the participants enough time to review the course materials prior to taking the exam. If time permits, you can facilitate a structured review of the materials using one of the following techniques:

- Assign each team a lesson and have them summarize and present the key points to remember.

- Select five to seven of the most critical points from each lesson. Present a brief review of these points. Ask questions to ensure that the participants remember the most important information.

When the review is completed, distribute the exams. Remain in the room to monitor the exam and to be available for questions. Collect the completed exams.

Instructor Note: To receive a “certificate of completion,” participants must score 70% or higher on the test. Explain how participants scoring a 70% or higher will receive certificates (usually issued by the organization sponsoring the course).
Instructor Notes: Present the following key points.

Completing the course evaluation form is important.

Comments will be used to enhance the effectiveness of this course.

Collect the completed ICS Form 214 and Course Evaluation forms. Ask the participants if they have any feedback or comments that they would like to share with the entire group.

After receiving feedback, thank the participants for their participation.

Please use the course evaluation form provided by the organization sponsoring the course.
### Unit 8: Course Summary

**Your Notes:**